

COPENHAGEN BUSINESS SCHOOL
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WWW.CBS.DK

ISSN 0906-6934

Print ISBN: 978-87-93339-42-2
Online ISBN: 978-87-93339-43-9

COMPLEX BUSINESS NEGOTIATION: UNDERSTANDING PREPARATION AND PLANNING

PhD Series 30-2015

Morten Lindholst

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The PhD School of LIMAC

PhD Series 30-2015



COPENHAGEN BUSINESS SCHOOL
HANDELSHØJSKOLEN

Complex Business Negotiation: Understanding Preparation and Planning

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Morten Lindholst
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1st edition 2015
PhD Series 30.2015

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ISSN 0906-6934

Print ISBN: 978-87-93339-42-2

Online ISBN: 978-87-93339-43-9

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Abstract

Most scholars agree that engaging in preparation and planning is key to a negotiation's effectiveness but research has largely focused solely on what happens at the negotiation table, rather than in preparation for it. This thesis addresses the balance by clarifying which preparation and planning activities are undertaken to conduct a complex business negotiation. It examines not only what activities are conducted, but also by whom, and when.

One important question for both practitioners and researchers alike is the extent to which practitioners follow the recommendations of what is an extensive and highly varied literature on negotiation preparation. A review of the literature enabled a comprehensive activity checklist to be developed which, coupled with a number of propositions about how preparation could be expected to be conducted, formed the foundation for the data collection and analysis.

The bulk of research into negotiation uses data drawn from populations in experimental design settings. However, this study follows a qualitative research design, which has multiple sources of inquiry and which draws upon data grounded in a large global, industrial company and, thereby, contributes to the limited selection of negotiation research that is conducted outside of university settings.

The results from an open-ended survey with 68 purposefully selected respondents provide an understanding of the preparation and planning activities they conduct as part of their ordinary customer negotiations. These results are further informed by a 13 month, interpretive single case study following a multinational and multilingual negotiation over the sale of a triple digit million

Euro power generation plant. The case study provides an understanding of team preparation over time which is less readily identifiable through the survey data.

Negotiators are found to follow many of the core recommendations of the literature, providing support for these recommendations. The data analysis revealed whether preparation activities were conducted individually or in teams and also when these activities were conducted; as neither aspect appeared to be significant in the review of the literature, these findings add new dimensions to our understanding of preparation practices. These aspects are presented in a new model of Negotiation Preparation and Planning Activities (NePPA) that can be used by practitioners but can also be used to develop new avenues of research.

In addition, the temporal aspect of preparation, revealed by the findings, demonstrates the continual nature of preparation and planning. It occurs, as expected, before a meeting with the other negotiating party but also after it, as the first step in preparing for the next meeting. In a finding that reflects the impact of emerging technologies on the conduct of business practices, the case study data shows that the negotiators used communication technology to discuss and prepare their next moves while still at the negotiation table. This at-the-table preparation, coupled with the pre- and post-preparation meetings and preparation conducted away-from-the-table by individual members of the negotiating team, suggests that negotiators should envisage preparation as being a cyclical process rather than as an episodic event.

The study is limited in the sense that it was confined to one company and to a particular type of business negotiation and the analysis is limited by relying, in part, on self-reported data. Nevertheless, the practitioner data has yielded insights that have not been seen from the more

common experimental research. Further avenues of inquiry are suggested by the findings, including the impact of distributive and integrative preparation activities on the subsequent negotiation, the use of communication technology, and the more general question of which activities make the greatest contribution to the quality of the negotiated outcome.

Dansk Resumé

Forskere er normalt enige om at planlægning og forberedelse er nøglen til at gøre forhandlinger effektive, men alligevel har forskningen mest fokuseret på det der sker ved selve forhandlingsbordet, og ikke ved forberedelsen til det. Denne afhandling søger at råde bod på den mangel ved at afklare hvilke forberedelses- og planlægningsaktiviteter der indgår i en kompleks kontraktforhandling. Den belyser ikke bare hvilke aktiviteter som forekommer, men også hvem der gør det, og hvornår.

Afhandlingen belyser et spørgsmål som er vigtigt både praktisk og akademisk, om i hvilken udstrækning forhandlere i praksis følger de anbefalinger som findes i den brede og stærkt varierede litteratur om forhandlingsforberedelse. Litteraturgennemgangen mundede ud i en nyudviklet, alsidig checkliste, som, sammen med et antal 'propositions' på grundlag af den forventede forberedelse, dannede basis for dataindsamlingen og analysen.

Størstedelen af forhandlingsforskningen bygger på eksperimentelle data fra laboratorieforsøg. Modsat følger denne afhandling et kvalitativt forskningsdesign med flere datakilder hentet fra en stor, global industrivirksomhed, og dermed bidrager den til det begrænsede udvalg af forhandlingsforskning som er foretaget uden for universitetslaboratorierne.

Resultater fra et åbent spørgeskema med 68 bevidst udvalgte respondenter bidrager med forståelse for den forberedelse og planlægning som de udfører som del af deres normale kundeforhandlinger. Disse resultater perspektiveres af et observeret single case study, et beskrivende og fortolkende studie som over 13 måneder fulgte en multinational og multilingual forhandling om salget af et energiforsyningsanlæg til et trecifret millionbeløb Euro. Casestudiet

muliggør en anden forståelse af forhandler-teams forberedelse i selve forløbet, hvilket ikke fremgår med nogen tydelighed af data fra surveyet.

Analysen påviser at forhandlerne følger mange af kernelitteraturens anbefalinger, og støtter dermed disse anbefalinger. Data fra surveyet og casestudiet viste om forberedelsesaktiviteterne blev udført individuelt eller i teams, og også på hvilket tidspunkt de forekom; da ingen af disse aspekter fandtes belyst i litteraturgennemgangen, vil disse resultater tilføje nye dimensioner i vores forståelse af forberedelsesaktivitet. Disse aspekter præsenteres i en ny model for Preparation and Planning Activities (NePPA), som dels kan bruges af praktikere, og dels åbne nye forskningsperspektiver.

Som tidsaspektet fremstår i resultaterne, viser det forberedelsens kontinuerlige natur. Aktiviteten findes, som forventeligt, inden et møde med forhandlingspartneren, men også efter mødet, som første skridt i forberedelsen af næste møde. Derudover påvises der en ny brug af ny teknologi i kommunikationen, idet casestudiet viser at forhandlerne brugte computer-medieret kommunikation til at diskutere og forberede deres næste træk medens de endnu sad ved forhandlingsbordet. Denne ”at-the-table”-forberedelse, sammenholdt med for- og efterbehandlinger ”away-from-the-table” både i team-møder og individuelt, viser at forhandlere skal se forberedelse som en cyklisk proces snarere end som en episodisk begivenhed.

Afhandlingen vedkender sig sine begrænsninger i at den forholder sig til en enkelt virksomhed med en bestemt form for salgsforhandlinger, og i at den til dels anvender selv-rapporterede data. Alligevel har de indsamlede praktikerdata givet indsigter som ikke er beskrevet i den eksperimentelle forskning. Der kan åbnes perspektiver fra resultaterne for fremtidig forskning, for eksempel i indflydelsen fra distributive og integrative forberedelsesaktiviteter, brugen af

kommunikationsteknologi, og det mere generelle spørgsmål om hvilke aktiviteter som bidrager mest til kvaliteten af det forhandlede resultat.

Acknowledgements

My passion for knowing, understanding, and collaborating with people from various cultures and across geographies probably led me to prioritise a professional career in customer-centric positions, rather than in engineering, which is my educational background. In making this choice, intercultural and often complex negotiations became an important part of my everyday activities as I worked in various positions, as well as in various countries, for over 15 years.

Although negotiation was a significant part of my professional life, it was only after over a decade of constant deal making that I had my first insight into research about negotiation which confirmed the few things that I had been doing well and, more importantly, the many things I should have been doing differently. This insight made a profound impact on me and generated a desire to explore and contribute to the field of negotiation research.

Acknowledging my limited theoretical knowledge within the field of negotiation, I was convinced that the best possible way through which to contribute to the field was by leveraging my experience as an experienced negotiator, which led me focus on the Industrial PhD programme which involved being employed in a company while enrolled in University.

After an extensive search for suitable companies, Vestas was far and away the company that best met my success criteria, a feeling which became more pronounced after meeting Roald Steen Jakobsen, Global Head of People & Culture, who shared the belief that the capacity to effectively practice negotiation is vital to individuals and organizations alike. Shortly thereafter, the three party application between Vestas, CBS, and myself to be admitted into the Industrial PhD program, and

thereby receive co-funding from the Danish Ministry of Science, Innovation, and Higher Education, was approved and the project began in earnest.

No large project like this thesis is the work of just one person. What started out as an individual desire soon became the sum of a collective effort by many diverse people who all made their individual contributions to the collective result represented by the thesis. I would like to express my gratitude to all those who have been involved.

Firstly, without the financial support from Roald this project would probably never have been conducted. Furthermore, Roald has been a constant supporter of the project, despite the pressure to focus on the shorter term. Juan Araluce and Javier Rodriguez, who in late 2010 were the President and SVP of Sales of the Mediterranean business unit respectively, joined Roald as project sponsors, thereby making the crucial access to the negotiators in their region possible. The support from both Juan and Javier has been vital throughout the 2-3 years of data collection. Moreover, it has been an honour to have Juan as my official company sponsor.

Secondly, more than 100 Vestas employees have, directly or indirectly, been involved in the project and their dedication and openness regardless of the ongoing cost reductions at the time of the data collection has impressed me deeply. Many colleagues from the Madrid and Paris offices were especially involved in the project and special thanks goes to Kristoffer, for his willingness to answer countless questions, and to Eric, Hugues, and Khalid for their belief in me and in the project. Finally, Tanguy deserves my earnest respect and appreciation for his uncompromised willingness to collaborate and improve, an example we all can learn from.

Thirdly, I am deeply grateful to my university supervisor Anne Marie Bülow who spearheaded my introduction into academia and who never failed to listen to my struggles, in addition to offering valuable advice. Without her trust in my capabilities and relentless and altruistic support I would not be writing these words. Other academics at the department of International Business Communication at the Copenhagen Business School and beyond also played important roles in my journey to become a researcher, many of whom I met at the annual IACM conferences, but one in particular played a key role. Special thanks go to my mentor and friend Ray Fells with whom I have had many fruitful discussions over the past years.

Finally, I want to thank my family and friends who accompanied me throughout this unforgettable journey, especially Christopher and Kalina who gave me a secure base in Copenhagen, my mother and my in-laws for their warm and logistical support, and my emotional sponsors, my wife Maribel and our lovely children Daniel and Maite.

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Table of Abbreviations

A	A followed by numbers is referring an Activity proposition
BATNA	Best Alternative To a Negotiated Agreement
CAGR	Compounded Annual Growth Rate
CAPEX	CAPital EXpenditures
CAQDAS	Computer Assisted Qualitative Data AnalysiS
D	D followed by numbers is referring an Dual concern proposition
F	F followed by numbers is referring an Frequency proposition
F2F	Face-to-Face
GW	Gigawatt
IPP	Independent Power Producer
IRR	Internal Rate of Return
L	L followed by numbers is referring an Level proposition
M	M followed by numbers is referring to the numbers in the NePPA Model
MW	Megawatt
NePPA	Negotiation Preparation and Planning Activity model
NPP	Negotiation Preparation and Planning
OPEX	OPerating EXpenditure
P	P followed by a number is referring to a participant from the survey
PP	Preparation and Planning
PPA	Power Purchase Agreement
Q	Q followed by a number is referring to the specific question from the open-ended survey
R	R followed by a number is referring to the number of Respondents
ROI	Return On Investment
RP	Reservation Point
T	T followed by numbers is referring an Temporal proposition
SV	Subjective Value
ZOPA	Zone Of Possible Agreement

Case Study Participants:

CLN	Customer Lead Negotiator
CPM	Customer Project Manager
CTL	Customer Transaction Lawyer
INV	Investor on the customer side
SHS	Seller Head of Sales
SLN	Seller Lead Negotiator
SRH	Seller Regional Head of Sales (Executive)
SSH	Seller Regional Head of Service (Executive)
SSS	Service Sales
STL	Seller Transaction Lawyer

1. Introduction

"When there are different opinions in the organisation the customer always detects them and goes for whatever point is under discussion; if there are different opinions in the company, the customer feels that there is some room for the company to move in the direction he wants. It is therefore key to be aligned BEFORE sitting with the customer" (Survey respondent from this study)

This observation, made by an experienced business negotiator, reflects a common concern negotiators have – they feel that if they don't prepare well then their negotiations will not yield the best outcome. This is in accordance with my own experience of conducting complex buyer-seller negotiations for over a decade; I consistently felt that I and other negotiators could have avoided mistakes at-the-table and instead claimed more value if we had prepared more effectively. Less intuitively, my experience also indicated a correlation between joint value creation, for the benefit of both parties, and our own preparation activities. This practitioner experience was the impetus for this research. This thesis is concerned with understanding the preparation and planning activities that are involved in complex business negotiation; more specifically, what activities are conducted, by whom, and when in the process do the preparation and planning activities take place.

Widely-regarded writers on negotiation, such as Fisher, Ury and Patton (1991), Mannix and Innamì (1993), Roloff and Jordan (1991), and Watkins (1999) recommend investing time in the effective preparation and planning for the upcoming negotiation. Many practitioners' texts (e.g. Lax & Sebenius, 2006; Lempereur & Colson, 2010; Movius & Susskind, 2009; Shell, 2006) devote a chapter or more to the topic and offer checklists and descriptive advice. Many negotiation texts books do likewise (Brett, 2007; Hames, 2012; Lewicki, Barry, and Saunders, 2010; Thompson, 2009).

Jordan and Roloff (1997), Lewicki et al. (2010), Peterson and Shepherd (2010), and other sources have made the observation that despite the extensive research into negotiation, few have focused on what is actually prepared in anticipation of negotiations, and there is scant empirical evidence on the impact careful preparation has upon the negotiation process (Lewicki et al., 2010). Planning ahead, which is what preparation involves, is the process that links cognition with action (Sacerdoti, 1977; Wilensky, 1983) and has been found to help translate an abstract goal into a specific set of actions which pave the way to the goal (Townsend & Liu, 2012). We should expect, then, that a lack of preparation and planning is going to lead to mistakes and poor outcomes, particularly in a complex and dynamic process such as negotiation. It is imperative to better understand what drives the behaviours performed at the negotiation table.

Consequently, this thesis examines the preparation practices of a group of experienced commercial negotiators with a view to understanding how they prepare for their negotiations. The practitioners were all employed by a multi-national wind turbine manufacturing company and they negotiated contracts with a customer, typically a private or public utility, independent power producer or a project developer. These supply and servicing contracts could be worth a hundred million Euro or more. The core of the negotiating team would be an expert in sales and a lawyer, though they may be joined by four or five others as the need arises during their preparation and in the negotiations themselves. The initial prospecting to the completion of an agreement may take up to five years with the negotiation phase lasting several months. Clearly, preparation for these major negotiations is crucial; it is in the interests of both parties that the negotiations go well.

A distinction is often made between the academic and the practical. By investigating the degree to which experienced practitioners follow the prescriptions of the negotiation literature we

can assess the strength of the link between the two. A key area of interest that will be explored in this thesis is whether negotiators follow the advice of the researchers and other writers when preparing for a complex negotiation. Are there aspects of practice that the negotiation literature seems not to have covered? The extent of the link between the academic and the practical will be significant for both researchers and practitioners alike.

The evidence presented in this thesis suggests that the practitioners' preparation activities are broadly consistent with the recommendations offered in the negotiation literature but that some of the activities recommended do not seem to occur, a finding that suggests that there is still room to improve the link between the researcher and practitioner.

If negotiation scholars and practitioners consistently consider preparation to be a critical element of negotiation then why did my colleagues and I not follow this advice? Possibly because we did not know all of the possible activities, readily available in the literature, or we did not know how to conduct these activities. Like so many other managers, and others in the world of business, we were time poor (Peterson & Lucas, 2001; Watkins, 1999), which may have led to our not being sufficiently thorough or strategic in our preparation. With little time available for preparation, resource prioritization becomes paramount. Hence, understanding which of the possible preparation activities are the most effective in achieving the desired outcome is essential. This thesis, therefore, in addition to understanding the principles of good preparation and which of those are followed by negotiators, investigates who conducts the activities and when in the process these different activities are conducted.

Based on the data from 68 practitioners, this study has found evidence to suggest which activities are usually conducted individually (alone or with colleagues) and which activities are

usually conducted by the negotiation team. Using participant observation data over a 13 month period from a multinational and multilingual negotiation over the sale of a triple digit million Euro power generation plant, findings have been discovered to suggest in which phases of the negotiation process the different preparation and planning activities were conducted primarily.

Another implication, related to the temporal aspects of preparation and planning, is that negotiators should regard preparation and planning as being a continuous cyclical process, rather than a single event before the negotiation. The findings revealed that preparation and planning occurs individually and with the negotiation team before a meeting with the other negotiating party, but also after it. Furthermore, the case study data shows that the negotiators used communication technology to prepare while still at the negotiation table. This at-the-table preparation, together with the pre- and post-preparation meetings and preparation conducted away-from-the-table by individual members of the negotiating team, completes the iterative negotiation preparation and planning cycle. These new insights can inform further research and also strengthen the advice offered to negotiators and improve their effectiveness.

1.1 The research opportunity

This thesis was made possible thanks to a large industrial company who committed to sponsor the project together with the Danish Ministry of Science, Innovation, and Higher Education as part of the Industrial PhD programme¹. Prior to starting the PhD project I had never worked in the company and had only a superficial knowledge of it. The multiparty agreement between company, university, the ministry, and myself made it possible to do a naturalistic inquiry (Lincoln

¹ An Industrial PhD project is an industry-focused PhD study where the student is employed by a company and enrolled at a university at the same time.

& Guba, 1985) within the setting of the company and, thereby, complement the negotiation research conducted within the university laboratories (Buelens, Van De Woestyne, Mestdaghe, & Bouckennooghe, 2008; Pruitt, 2011).

On January 1st 2011, I transferred from Denmark to Spain, where the company has one of its global sales business units. This unit spans multiple countries and handles many ongoing, parallel customer negotiations. My initial informal interviews with negotiators consistently revealed that customer negotiations are a sensitive subject due to the financial importance of the outcome both to the negotiators themselves and for the company. As a result, this was a closed setting (Bell, 1969) which made access a challenge for the researcher. To cope with this important obstacle I engaged in offering negotiation advice and training, which turned out to be highly sought after by the negotiators of the company. The negotiators soon started to invite me, as an observer, to both internal preparation meetings and external customer negotiations, possibly as an act of reciprocity. Other negotiators told me that they had invited me because my own experience as a negotiator made me “like one of them”. No matter the reasons for the access granted, the insider approach adopted presented both advantages and challenges (Bryman & Bell, 2007; Dwyer & Buckle, 2009), an aspect of the research that will be discussed in Chapter 4.

My initial observations of preparation and customer negotiations revealed a similar pattern, with blunders occurring at-the-table that could have been avoided by efficient preparation and suboptimal agreements being reached that could possibly have been improved by better preparation; this suggests that even in the high Euro amount negotiation, preparation is not always optimal. These preliminary observations in the context of the company under study mirrored my own experience and reinforced my motivation to conduct the study that now comprises this thesis.

1.2 Outline of the dissertation

Following this Introduction, chapter 2 presents a review of the literature on negotiation. Under the overall theme, concerning which preparation activities are undertaken to conduct a complex business negotiation, the primary purpose of the literature review is to develop the specific research questions and propositions, and to create a comprehensive list of the recommended negotiation preparation and planning activities. The review also served to develop the questionnaire used for the open-ended survey.

Chapter 3 explains the methodology employed and the overall interpretive research design. This involved multiple methods of inquiry to capture the widest possible range of insights from the practitioners. The chapter also describes the selection criteria, data collection, and thematic coding and analysis. The two main sources of data were a survey and a case study. The case is described in chapter 4 – Company Context and Sales Process - the purpose of this chapter being to provide background information and to understand the context of the company from which all of the data for this study originates. The chapter also describes one multinational, multilingual complex negotiation over the sale of a large power generation plant.

The findings from the case study and the survey are presented in chapters 5, 6, 7, in which each chapter offers an answer to the research questions developed during the literature review; namely: (1) Which preparation activities are undertaken to conduct a complex business negotiation, (2) Who undertakes the preparation and planning activities, and (3) When do preparation and planning activities occur in teams. These findings are brought together in chapter 8 which considers the implications for further research and for practice.

2. Literature Review

The primary purpose of this dissertation is to advance the understanding of which preparation activities are undertaken to conduct a complex business negotiation. As a first step, this chapter will review the literature on business negotiation, in relation to negotiation preparation and planning. It will examine what the literature recommends, by way of preparation and planning, but also explore aspects that do not feature so strongly in the literature but which are particularly relevant for complex business negotiations; namely at what time during the negotiation process these activities should be conducted, by whom, and the team dimension to preparation activity. This review will form the basis of a list of preparation and planning activities from which a number of propositions can be developed.

Aligned with our focus this chapter starts by defining business negotiation followed by a review of the relevant team negotiation literature making an argument for the importance of understanding, not only which preparation activities are conducted, but also which of these are conducted by teams. The process of negotiation is then discussed in order to set the scene for a review of the negotiation preparation activities that are recommended in the literature. This provides the basis for compiling a data collection device for the forthcoming analysis.

2.1 Business negotiation

Negotiation emerged as a field of research in the 1960s as a result of the seminal contributions by labour relations experts, economists, social psychologists, and political scientists (e.g. Ikle, 1964; Walton & McKersie, 1965; Sawyer & Guetzkow, 1965; Schelling, 1960). More than 1,000 empirical studies, within the area of social psychology alone, had been conducted by the year 1970 (Rubin & Brown, 1975) and few areas in organizational behaviour have developed as

profoundly or as rapidly as the field of negotiation (Bazerman, Curhan, Moore, & Valley, 2000; Kramer & Messick, 1995).

Negotiation is done by everyone on an almost daily basis (Lewicki, Barry, & Saunders, 2010). It is a social process by which interdependent people, with conflicting interests, determine how they are going to work together or allocate resources in the future (Brett, 2007). Negotiation occurs because the parties cannot achieve their objectives without the help of others (Thompson, Wang, & Gunia, 2010), and they believe a better deal can be reached by negotiating rather than by simply accepting or rejecting an offer from the other party. The process is voluntary in that either party is free to quit at any time (Behfar, Friedman, & Brett, 2008; Brett, 2007; Ghauri & Usunier, 2003).

Negotiation is not solely about making business deals. Negotiation skills can be used to make decisions in a multiparty environment and to resolve conflicts (Brett, 2007). The focus of this dissertation is, however, specifically upon business-to-business deal-making negotiation - also called business-to-business transactional negotiation (Adair & Brett, 2005) or buyer-seller negotiations within the field of *Industrial Marketing* (e.g. Calantone, Graham, & Mintu-Wimsatt, 1998; Herbst, Voeth, & Meister, 2011). Within the field of *International Business Negotiation* (e.g. Ghauri & Usunier, 2003), the negotiations under scrutiny in this dissertation would be classified as a subgroup within the micro-behavioural paradigm, which focuses on individual negotiators and their behaviour, who typically conduct business transactions (business deals) between buyers and sellers (Weiss, 2004). All of the aforementioned terms are used interchangeably in this dissertation and are defined as exchange negotiations between two or more business parties to buy and sell (Brett, 2007).

The term transactional negotiation is employed by some authors (e.g. Sheppard & Tuchinsky, 1996) and is understood as negotiations where no relationship exists according to psychological contract theory (Rousseau & Parks, 1993) and the most important element is the deal itself (Lewicki et al., 2010). The use of the term transactional negotiation is here used only according to the definition by Brett (2007), above, and does not suggest that past, present, and future relationships are of no importance to the negotiation process and its outcome, which is the underlying assumption in some of the negotiation research (Lewicki et al., 2010; Sheppard & Tuchinsky, 1996).

As in any other context, business negotiators are engaged in negotiation activities in order to generate mutually beneficial outcomes (Perdue, Day, & Michaels, 1986; Walton & McKersie, 1965). Their negotiations are *mixed-motive negotiations* (Adair & Brett, 2005; Lax & Sebenius, 1986) where negotiators must cooperate enough to reach an agreement and compete enough to claim sufficient value for themselves (Sebenius, 1992; Lewicki et al., 2010; Thompson et al., 2010). Negotiation, therefore, is here understood as a goal-oriented activity in which corporative (integrative) and competitive (distributive) strategies are used in the quest of both outcome and relationship goals (Wilson & Putnam, 1990).

On the cooperative or integrative side, parties are interdependent and must work together to discover creative solutions that increase the total size of the pie of resources to share among the parties (e.g. Fisher et al., 1991; Raiffa, 1982; Lax & Sebenius, 1986), while on the competitive or distributive side, parties represent distinct entities and aspire to get a good deal only for themselves (Walton & McKersie, 1965; Lax & Sebenius, 1986). Lax and Sebenius (1986) noted the inherent tension between value creation and value claiming when they stated: “No matter how much creative

problem solving enlarges the pie, it must still be divided; value that has been created must be claimed” (p. 33). Consequently, effective negotiation depends upon the ability of parties to manage both the integrative and distributive components of the negotiation task (Kumar, 1997; Lewicki et al., 2010).

This inherent tension between claiming and creating value, termed *The negotiator's dilemma* by Lax and Sebenius (1986), influences not only the negotiator’s behaviour during the at-the-table negotiation but also the pre-negotiation preparation and planning (Mannix & Innam, 1993) and is, consequently, of importance to this dissertation.

In the following section we will discuss how the incorporation of teams in business negotiations can be both a blessing and a curse to the team members and how this influences preparation and outcomes.

2.2 Team negotiation

Today an increasing portion of business negotiations are conducted by teams rather than by solo negotiators (Backhaus, van Doorn, & Wilken, 2008; Cummings, 2007; Katrichis, 1998; Zack, 1994). As many as 75% of companies sell in teams (Cummings, 2007). However, teams can be both an asset and a liability in a negotiation, depending on the context (Cohen & Thompson, 2011). The use of teams presents significant challenges in terms of internal conflict (Halevy, 2008), reaching agreement (Cohen, Leonardelli, & Thompson, 2010), and internal alignment (Brett, Friedman, & Behfar, 2009). On the other hand, teams are usually expected to arrive at better, integrative agreements at the bargaining table (Cohen & Thompson, 2011; Morgan & Tindale, 2002; Thompson, Peterson, & Brodt, 1996; Zack, 1994). More specifically, related to our context, research has found that teams are an asset in negotiations in which the context allows for

coordination and integrative trade-offs (Morgan & Tindale, 2002; Polzer, 1996; Thompson et al. 1996), such as multi-issue deal making negotiations (Cohen & Thompson, 2011), which may explain the large proportion of companies using a team selling approach.

Team-on-team negotiations, also termed group-on-group or inter-team negotiations, occur in the business context in which the two parties (a seller, the company, and a buyer, the customer) are each represented by more than one negotiator, each team having the mandate to construct an agreement which is more beneficial than any of the alternatives (Behfar et al., 2008b; Carnevale & Pruitt, 1992; Cohen, Leonardelli, & Thompson, 2010; Thompson & Fox, 2001; Thompson & Hastie, 1990a; Thompson et al., 1996; Von Glinow, Shapiro, & Brett, 2004). Team-on-team negotiations are not to be confused with multi-party negotiations (Mannix & White, 1992; Polzer, Mannix, & Neale, 1998) where there is a group of three or more people who have to arrive at an interdependent decision. In multiparty negotiations, negotiators act as individuals who represent their own interests; in team negotiations, team members should act in the interest of their respective teams (Behfar et al., 2008b).

Team-on-team negotiations have been studied from many perspectives, such as representative negotiations (e.g. Frey & Adams, 1972; Friedman & Podolny, 1992; Gelfand & Realo, 1999; Pruitt & Carnevale, 1993), multiparty negotiations (Polzer et al., 1998; Thompson & Fox, 2001), groups-on-group negotiations (Naquin & Kurtzberg, 2009; Thompson et al., 1996), and intra-group negotiations (Behfar et al., 2008b; de Wit, Jehn, & Scheepers, 2011; de Wit, Greer, & Jehn, 2012). In the context of complex business negotiations with teams on both sides of the table and recurrent meetings within and between teams, we evidently have both intra-team negotiations on both sides of the table and inter-team negotiations amongst the parties. Consequently, team-on-

team negotiation research, which looks into negotiation between groups (cf. Naquin & Kurtzberg, 2009), and intra-group negotiation research (cf. de Wit et al., 2011), which look into negotiation within groups, will be explored thereafter.

2.2.1 Team-on-team negotiation.

In the noteworthy research on team-on-team negotiation, which has emerged over the last two decades, the emphasis has been predominantly placed on understanding if and why teams have an advantage at the bargaining table over solos (e.g. Hinsz, Vollrath, & Tindale, 1997; Morgan & Tindale, 2002; Polzer, 1996; Thompson, Peterson, & Brodt, 1996) as well as whether, and at what times, this advantage exists (Gelfand, Brett, Imai, Tsai, & Huang, 2005; Peterson & Thompson, 1997). More recent research investigating the solo versus team question, by Zerres, Hüffmeier, Freund, Backhaus, and Hertel (2013), cautions against the automatic assignment of teams to negotiation, especially with regard to the negative effects of negotiating teams on socio emotional outcomes (e.g. Naquin & Kurtzberg, 2009; Polzer, 1996). The underlying assumption in the aforementioned body of research is that you have a choice whether to negotiate as a team or individually. While a valid assumption in many settings, it is not valid in the context of the company investigated in this research and probably in most complex large scale negotiations as the team is a necessity rather than a choice. This necessity may stem primarily from the fact that complementary skills, not available to one person, are indispensable in conducting the negotiation, an argument also put forward by Behfar and colleagues (2008).

Another line of research has been into factors that influence the quality of the outcomes between negotiation groups. Naquin and Kurtzberg (2009) found that high levels of trust in the other party increased joint outcomes and reduced the rate of impasses experienced during

distributive negotiations. Halevy (2008) showed that different preferences within negotiation groups lead to lower joint outcomes between the negotiation parties. Other research, in the context of team-on-team negotiations, has found that acquaintanceship (Brodt & Dietz, 1999; Peterson & Thompson, 1997; Thompson et al., 1996), and experienced conflict (Keenan & Carnevale, 1989) within groups before the negotiation influence processes and outcomes during team-on-team negotiations. Although these antecedents are also embedded, prior to the beginning of the negotiation, the studies did not observe an intra-group interaction prior to the negotiation.

2.2.2 Intra-team negotiation.

Intra-team, or intra-group, negotiations are concerned “with synthesizing and choosing the best ideas, opinions, and viewpoints to achieve a certain group goal” (de Wit et al., 2012, p. 209). Team-on-team negotiations complicate the preparation process because they add a need to aggregate individual interests into group interests prior to the negotiation (Brodt & Thompson, 2001; Brett et al., 2009; de Wit et al., 2012; Polzer et al. 1998). This holds especially true in complex negotiations where group members are chosen for their specific knowledge, expertise, and perspectives (Behfar et al., 2008a).

While negotiation parties in other forms of negotiations tend to have different and maybe even conflicting goals, parties in team-on-team negotiations typically seek a common group goal (Halevy, 2008; Weldon & Weingart, 1993) and diverging interests and preferences only occur because team members have different convictions about what is best for the team, due to different information (de Wit et al., 2012), for instance, or to the unique interests of different constituencies within the organization (Halevy, 2008).

While one might expect intra-team conflict to have a negative effect on team outcomes (De Dreu & Weingart, 2003), recent research by de Wit and associates (2012) has found intra-team conflict to be much less noticeable among top management teams, rather than teams at lower levels of the organizational hierarchy, and when performance is operationalized in terms of financial performance (de Wit et al., 2012). Therefore, since such intra-team conflict is not expected to surface in the present study, the psychological literature on group decision making will not be considered here.

Rather than investigating intra-team conflict, our purpose in this dissertation is to investigate which preparation activities are performed in preparation for a complex business negotiation and to understand their perceived effectiveness on the outcome from the seller's perspective. Consequently, we are looking at how within team activities affect the outcome of between team negotiations. The importance of within-team negotiations, prior to team-on-team negotiations, has been identified frequently in works on pre-negotiation preparations (Mannix & Neale, 2005; Peterson & Lucas, 2001; Roloff & Jordan, 1991, 1992). Moreover, as observed by Bonner, Okhuysen, and Sondak (2011), these decision making processes are usually included in experimental negotiation research to provide representatives and team members with the chance to discuss and prepare for the upcoming negotiation within their team (e.g. Halevy, 2008; Morgan & Tindale, 2002; Thompson et al., 1996).

However, the negotiation preparation within the teams, and its consequences for later team-on-team negotiation process and outcome, has received almost no empirical research interest on its own. Among the few works dedicated to this important within-team phase, prior to team-on-team negotiation we find the study by Bonner and colleagues (2011), who found that intra-team decisions

were influenced by the majority structure within the team and the competitiveness of the team members' preferences. Unfortunately, the study did not investigate the effects within-team negotiation preparation had on the outcomes of the subsequent team-on-team negotiation.

Two recent studies have assessed the impact of the effect that within-team negotiation preparation has on the behaviour and outcomes of subsequent team-on-team negotiations. Swaab, Postmes, and Eggins (2011) found that within-team preparation increased team members' shared understanding of the underlying interests and, consequently, of the increase in economic outcomes in the subsequent team-on-team negotiations. Outcomes were further improved when the teams also engaged in inter-team discussions, prior to the negotiation, compared to when they engaged in only intra-, inter-, or no discussion at all. This finding was replicated in both a distributive dyadic negotiation as well as in a multiparty integrative negotiation. In their study, Backhaus and colleagues (2008) ascertained that participative decision making within teams before the negotiation lead to a less contenting negotiation style during the negotiation and to higher joint outcomes. The same study found that high cohesion within teams, before the negotiation, lead the teams to adopt a less contenting negotiation style during the negotiation but, contrary to expectations, the level of the group's cohesion was not found to have had a positive impact on a team's individual outcome. The findings from both studies are based on negotiations conducted by students under experimental conditions where gaining an understanding of the context, issues and interests is a critical stage prior to any negotiating; it remains to be seen what the impact of, and the nature of within-team preparation is when the negotiations occur in a real-world context. Furthermore, there is no empirical research, to my knowledge, that links team activities with team-on-team negotiation outcomes.

2.2.3 Team negotiation: A summary.

Team-on-team negotiations have become the norm rather than the exception (Gelfand & Realo, 1999), which is also true for business negotiations (Cummings, 2007), as is the case for the company under study. Teams have been found to be both an asset and a liability in a negotiation depending on the context (Cohen & Thompson, 2011). Furthermore, negotiations typically consist of negotiations within teams as well as between them and, as Carnevale and Pruitt already put it in 1992, “what happens within the team may have important consequences for the between-group negotiation” (page 569) which suggests that the former may have an important moderating effect on the latter.

An assessment of which preparation activities are conducted by teams prior to a team-on-team negotiation still remains to be completed, despite the importance of team-on-team negotiation preparation (Weiss, 2006a). Therefore, this dissertation seeks to enrich our understanding of which preparation activities are undertaken by negotiation teams to conduct a complex business negotiation and will, thereby, add knowledge to the limited body of literature focusing on the effects of intra-team negotiation on team-on-team negotiation. The propositions, regarding which activities, are predominantly conducted as team activities rather than individual activities will be addressed under each of the themes which comprise the different preparation and planning activities.

The following section covers the equally well-researched process of negotiation in order to understand at what stage in the process the focus should be located and which groups of activities are expected to dominate the different phases.

2.3 Process of negotiation

Most researchers consistently describe negotiation as a process (Brett, 2007; Peterson & Lucas, 2001; Putnam, 1990; Sawyer & Guetzkow, 1965). Ghauri (1986) and Weiss (1993) propose that the negotiation process in business negotiations consists of three stages (Figure 1): pre-negotiation, negotiation (face-to-face, phone, video, etc.), and post-negotiation. Pre-negotiation consists of two separate parts (Breslin & Rubin, 1993). The first part of the pre-negotiation phase is the phase in which the parties decide whether to enter into formal negotiations with the other party (Breslin & Rubin, 1993; Kumar & Worm, 2004) on the basis of initial contacts and tentative offers (Ghauri & Usunier, 2003). The second part of the pre-negotiation phase occurs once the parties have committed to negotiate and before the face-to-face negotiation has begun (Breslin & Rubin, 1993). This part is often referred to as the preparation phase (Greenhalgh, 2001), planning process (Lewicki et al., 2010), or planning and preparation phase (Peterson & Lucas, 2001) and involves a series of categories of activities that the negotiators perform with the purpose of improving their prospects at the negotiating table (Lewicki et al., 2010; Watkins & Rosen, 1996). The negotiation phase involves the exchange of information and the transmission of offers and counteroffers by the negotiators involved. It ends, if successful, with an agreement between the parties or, if unsuccessful, with the parties leaving the table (Fisher et al., 1991; Watkins & Rosen, 1996). The post negotiation phase focuses either on the implementation of the contract or it may lead the negotiators to reshape their expectations and strategy if negotiations have not been successful (Brett, Northcraft, & Pinkley, 1999). The word negotiation, as noted by Zartman (1989), is used in the literature in two ways, and refers both to the negotiation process as a whole, including the pre-negotiation, and to the face-to-face encounters.

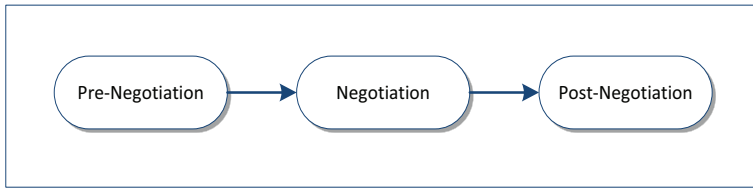


Figure 1: Negotiation Process Model Based on the Works of Various Authors, Including Graham (1993), Ghauri (1996), and Weiss (1993).

The literature offers a number of variations within the three stages of the negotiation process described above (for an overview of the different prescriptive and descriptive models, see Holmes, 1992). While the number of stages and the labels for the different models may vary (e.g. Greenhalgh, 2001; Saunders, 1985), the activities encompassed usually do not, leading to the generally agreed upon conclusion that the negotiation process passes through distinct chronologically bounded stages, each with a characteristic set of activities (Watkins & Rosen, 1996). Watkins and Rosen (1996) and Weiss (2006a) suggest that this underlying assumption that activities are undertaken and completed at a specific chronological phase in a linear negotiation process is ill-fitted to understanding large-scale multi-issue negotiations with multiple rounds where processes and outcomes are intertwined and recurring.

2.3.1 The Pre-negotiation phase.

While the process of negotiation is consistently described as being a “from start to finish”, chronologically bounded process with defined activities, the literature offers inconsistent definitions when it comes to what it is that is involved before the parties meet at-the-table. Broadly speaking, the term Pre-negotiation commonly includes all activities from initial contacts to the moment where the negotiators engage in the negotiation phase (e.g. Ghauri 1986; Saunders, 1985; Weiss, 1993;

Zartman, 1989). Other authors, however, use a more narrow definition of pre-negotiation (e.g. Fisher, 1964; Raiffa, 1992) which is limited only to the initial interactions between the parties before an agreement to negotiate exists. Breslin and Rubin (1993), who employ the broader definition, divide pre-negotiation into two sub-phases: (1) Creating initial agreement between the parties and (2) coming to the table prepared (Figure 2). The same division can be found in the work of other authors (e.g. Ghauri, 1986; Ghauri & Usiner, 2003; Weiss, 2006b) and is consistent with the prescriptive advice found in most research based negotiation text books (e.g. Fisher & Eitel, 1995; Hames, 2012; Lewicki et al., 2010; Thompson, 2009). This broad definition draws attention to the scope of what is required in conducting an actual negotiation (Figure 2).

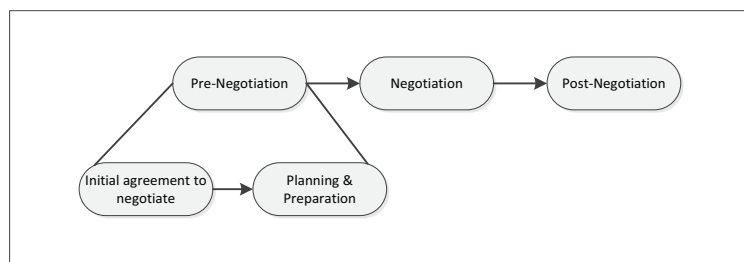


Figure 2: Negotiation and Pre-negotiation Process Model Based on Various Authors.

However, this broad conceptual model is operationalised in different ways by organisations to accommodate their other decision making processes. For the sales process of the company in the case study (see page 168), the negotiation preparation and planning and the team-on-team negotiations take place within the so-called negotiation phase, after the quotation stage has been concluded with a gate review. This gate review gives the mandate to make the proposal and approves the resources necessary to do so. Hereafter, we enter the negotiation stage, in which the

negotiation with the customer begins. As a result of the nature negotiations with multiple rounds, various iterations between preparation and planning and team negotiations takes place in this phase until an agreement is reached or negotiations are discontinued. Figure 3, shows the negotiation stage of the company's sale process. Although internal and external negotiations do take place prior to entering into the negotiation stage of the company, this research is focused on the preparation and planning activities conducted within the negotiation stage of the company (within the small box shown in the middle of Figure 3). The returning arrow in the bottom part of Figure 3 represents various iterations between preparation and planning and team negotiations.

In conclusion, this research focuses on the Planning & Preparation part of the Pre-negotiation phase as depicted in figure 2. However, as a result of the iterative nature of the negotiation the process taking place in the company, the process is not linear but cyclical as suggested by Watkins and Rosen (1996). As a result, what is known as the negotiation stage in the company's sales process include several iterations of planning and preparation and customer negotiations (Figure 3), where the emphasis in this dissertation will be directed towards these preparation and planning activities in each of these iterations.

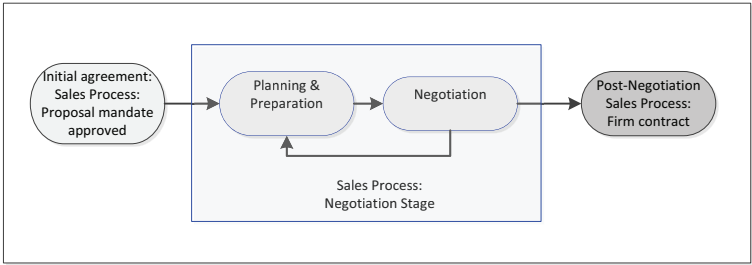


Figure 3: Iterative Negotiation Process within the company's Sales Process.

2.3.2 The phases within the negotiation stage.

Although negotiation theory recognises anywhere between three and 12 phases within the negotiation stage (Weingart, Olekalns, & Smith, 2004). Holmes (1992) came to the conclusion that the different models of the negotiation process fit into a general structure with three sequential phases of: initiation, problem solving, and resolution. In a more recent summary of the literature on phases, Fells (2012), suggests that the three phases should be termed: (1) positioning, (2) flexibility, and (3) repositioning, as this terminology better reflects the finding in recent research (e.g. Olekalns & Smith, 2000; Olekalns, Brett, & Weingart, 2003).

Two approaches to analysing negotiation phases exist (Weingart et al., 2004). The first, a stage model approach, treats negotiations as being divisible into discrete time segments and considers how the frequency of different strategies changes across segments. The second approach, called an episodic approach, looks for naturally occurring phases. Adopting one or the other is associated with methodological and empirical issues and the decision regarding the choice of approach should be linked to the research question asked, this aspect will consequently be discussed in the method chapter (page 155).

The patterns that emerge from several studies on negotiation phases suggest that the nature of stages is context sensitive (Weingart & Olekalns, 2004). In mixed-motive negotiations, such as with the sales negotiations in the company under study, proposals have been found to increase in a linear fashion over time (Lytle, Brett, and Shapiro, 1999). Moreover, negotiators also tend iteratively (cycle in and out) to make use of concessions and other distributive strategies throughout the process (Lytle et al., 1999; Olekalns, Smith & Walsh, 1996). As a result, when dealing with complex mixed-motive negotiation with several negotiation rounds, one should expect to see

different preparation activities depending on where in the process the given negotiation round is situated. Common to all of these studies is that the study of the preparation and planning meeting is omitted from the analysis. In the present study, the focus is upon the preparation and planning taking place in connection with the negotiation rounds and it is assumed that the preparation and planning activities reflect the seller's expectations of the upcoming negotiation round. Consequently, preparation and planning is subject to the overall negotiation phases. For this research's purposes, the context is major business negotiations which pose a challenge to predetermining the phases of the negotiation. Still, the two well-known normative models of negotiation phases researched (Morley & Stephenson, 1977; Walton & McKersie, 1965) suggest that distributive strategies precede integrative strategies. In support of these models, Olekalns et al. (2003) found, in a multiparty experimental setting, that the majority of teams initiated negotiations with the distributive dominated phase and ended with an integrative dominated phase.

As suggested above, negotiations in the context of the company under study are expected to take place over several rounds and negotiators are expected to be time poor (Peterson & Lucas, 2001; Watkins, 1999). Moreover, many of the preparation activities are expected to be conducted only once per negotiation (e.g. understanding one's own and the other party's interest), except where the composition of the negotiation teams changes. Thus, preparation is likely to change as the negotiations progress and one would expect to see a higher frequency of negotiation activities in the initial phase of the negotiation compared to the final phases of the negotiation.

2.3.3 Process of negotiation: A summary and propositions.

The process of negotiation has been well researched (Adair & Brett, 2005; Holmes, 1992; Olekalns et al., 2003; Olekalns & Weingart, 2008). Most of the research into the negotiation process is based on experimental research, which gives insights into what negotiators do and when they do it (Fells, 2012).

The focus of this research is within the negotiation stage of the sales process, as defined by the company. The phase consists of iterative negotiation rounds and its associated preparation and planning. The strategic planning activities conducted in planning meetings are expected to involve more preparation activities early in the process and to reflect the dominant negotiation strategies of the face-to-face meeting and are expected to follow the suggested differentiation-before-integration pattern suggested by Morley and Stephenson (1977) and Walton and McKersie (1965).

Thus, I advance the following overall proposition in relation to the process of negotiation (F for Frequency):

Proposition F.1: Preparation and planning team activities will be conducted with a higher frequency in the Initial phase of the negotiation compared to the later ones.

Proposition F.2.a: Distributive team preparation and planning activities will dominate in the Initial phase of the negotiation.

Proposition F.2.b: Integrative team preparation and planning activities will dominate in the latter phases.

In the following section our attention will be turned to uncovering the preparation and planning activities as recommended in the literature.

2.4 Recommended activities of good preparation and planning

Any review of writings on negotiation will show how important the task of preparation is. Researchers in the field, such as Brett (2007), Lewicki, Minton, and Saunders (2010), Lax & Sebenius (1986), Raiffa (1982), Salacuse (2003), Thompson (2009), Watkins (2006) and Weiss (1993), all make recommendations for good negotiation practice and cover a wide range of activities from monitoring the economic context to conducting logistical preparations. Given the importance of preparation, and the fact that most writers have something to say about it, the pool of potential sources is vast, unmanageable and to a large extent repetitive. An additional consideration is that some writers on negotiation are essentially sharing their own experiences, examples being Cohen (2006) and Trump and Schwartz (2009). In contrast, the writings by academic researchers have the virtue of having been grounded in research, whether in the laboratory or in carefully analysed case studies. This academic grounding gives more authenticity to the recommendations, there being some clear evidential backing to the preparation activities recommended to show that they do work.

However it is often the case that the research into what negotiators do does not extend to the exploration of how they prepare to do it (e.g. Peterson & Shepherd, 2010; Roloff & Jordan, 1991). For example, there has been research into decision-making processes (Neale & Bazerman, 1992), cognitive processes, such as heuristics and biases (Caputo, 2013; Tversky & Kahneman, 1974), work on schematic information processing (Carnevale & Pruitt, 1992), and mental models (Bazerman et al., 2000; Van Boven & Thompson, 2003). The implication is that negotiators should take these aspects into account in their preparation. They may, for example, discuss perspective

taking as a way to better understand the other party's viewpoint or consider the effect of anchoring when developing an opening offer.

The focus of this research is upon the negotiation preparation and planning activities conducted by the seller's team of negotiators. Other areas, such as the cognitive aspects of decision making by the team in preparation or the actual execution of the planned tactics at-the-table would be possible subsequent areas of research once what negotiators actually do when they plan and prepare for a complex business negotiation has been made known. The possible effects of, for example, framing and biases will be discussed later when its explanatory force has been alluded to in the findings.

2.4.1 Literature sources to uncover complex business negotiation preparation and planning activities.

Literature searches for a comprehensive, yet authoritative, list of preparation activities must be necessarily confined and still wide in scope. One starting point was for writings that specifically addressed the task of preparation. A second foray into the literature related to context. While authors have written about negotiation in many contexts, ranging from international diplomacy to interpersonal disagreements, this paper is concerned with complex business negotiations and so the business negotiation literature was examined for insights into preparation and planning activities. Fortunately, there is significant overlap among some writers who specifically address the task of negotiation and who do so in the context of complex business negotiation. However, as will be seen from Table 1 (page 56), the final selection of key texts was not confined to these authors solely.

Peer-reviewed literature on preparation and planning activities in complex negotiations is limited (Peterson & Shepherd, 2011). Peterson, together with Lucas (2001) and with Shepherd

(2010, 2011), made it the focal point of their research and their framework was adopted as a starting point because of its simplicity. Weiss, through the lens of international negotiation, addresses both complexity in negotiations and negotiation preparation in peer-reviewed works (Weiss, 1993, 2006b) and non-peer-reviewed works (2004, 2006a). His analysis has shown the importance of multilevel behavioural analysis by suggesting not only that the activities conducted be identified but also by understanding the levels on which the activities take place (e.g. team activity or individual activity) and the arenas in which they take place (e.g. among management) and, consequently, enhances the understanding of the multi-level and cross-level character of organizational phenomena which are often neglected in management research (Rousseau, 1985). This point, made by Weiss (1993), supports our intention to not only look at which activities are conducted but also where in the process they are conducted and by whom. Watkins (1999) draws on the areas of conflict resolution and international diplomacy as well as business to reinforce the need for strategic preparation because of the complexity of negotiations in these contexts. Watkins and Rosen (1996) and Weiss (2006a) believe that the common assumption, that preparation is a specific event, is ill-fitted to large-scale negotiations with multiple rounds in which processes and outcomes are intertwined.

Although peer-reviewed literature covering empirically grounded research into the practice of preparation is limited there is, as has been indicated earlier, extensive research literature into the practice of negotiation itself. This research has been comprehensively reviewed by authors of a number of authoritative textbooks on negotiation such as Brett (2007), Fells (2012), Hames (2012), Lewicki, Barry, and Saunders (2010), Raiffa (1982), and Thompson (2009). These incorporate the insights provided by scholars active in the field of business negotiation such as Bazerman and Neale

(1993), Lax and Sebenius (2006), Lum (2010), Malhotra and Bazerman (2007), and Shell (2006). Of the research-based textbooks investigated, four were selected for the review in the search for identifying as many preparation activities as possible. Lewicki et al. (2010) and Thompson (2009) were selected due to the depth of their preparation chapters and their high number of references to peer-reviewed sources. Hames (2012) also provides an extensive chapter on preparation, citing negotiation research and has been included as one of the sources here because the book is the most recent of its kind. Raiffa (1982) offers extensive advice on preparation activities, arguing for both an analytical (Science) and intuitive (Art) approach.

Looking further afield in the literature, both scholars and practitioners have contributed with their prescriptions on negotiation and, in some cases, on preparation and planning specifically. In a few cases these works even present frameworks that have influenced the field of negotiation (e.g. *Getting to Yes* by Fisher et al., 1991). In extending the search, the criteria of selection was firstly that the author is a researcher on business negotiation within the field and secondly that the source would potentially add new preparation activities to the existing list. Initially, *Getting to Yes* (Fisher et al., 1991) was included in the list, but I finally decided not to include the book as it did not provide any new activities to the list, possibly because the book is so influential and therefore has been integrated into the other sources selected. Books on business negotiation by Watkins (2002, 2006) and by Salacuse (2003) did, however, offer new activities and perspectives not seen in the other works (e.g. in the area of logistical concerns). Additional books were considered as they demonstrated relevance to the negotiation context and were written by scholars active in the field of business negotiation (e.g. Bazerman & Neale, 1993; Lax & Sebenius, 2006; Shell (2006); Malhotra

& Bazerman (2007); Lum, 2010), but these books were not included in the end as they did not add additional insights to those texts already reviewed.

Consequently, the work of eight different authors, all scholars in the field of negotiation, have been employed in this part of the work as summarized and categorized in Table 1.

Table 1. Selected Literature Sources.

Negotiation Preparation Focus	Type of Source	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
Generic Negotiation	Peer-reviewed								
	Research-based text books		2009	2010	2012	1982			
	Other books, chapters, non-peer reviewed articles etc.								2006b
Complex Business Negotiation	Peer-reviewed	2001 2010 2011						1999	1993 2006a
	Research-based text books								
	Other books, chapters, non-peer reviewed articles etc.						2003	1996 2000 2002 2006	2004

2.4.2 Preparation and planning themes.

Generally, both the academic text book literature and the more pragmatically inclined handbooks agree that being prepared to negotiate requires a set of activities which are typically divided into three or four themes (e.g. Watkins & Rosen, 1996). Peterson and Lucas (2001), in their review of the pre-negotiation preparation and planning literature, propose a conceptualization of the pre-negotiation preparation and planning phase within the sales arena of four sequential components. The first component in the framework, Intelligence Gathering (1), focuses on environmental factors and upon information collection from the other party, including research into their organization and learning about their style and personality (Raiffa, 1982). The second and third components, Formulation (2) and Strategy Development (3) respectively, concern planning activities involving the assessment of the best alternative to a negotiated agreement (Fisher et al., 1991), the development of reservation price (Raiffa, 1982), goal setting, and the development of a plan to reach the goals outlined (Wilson & Putnam, 1990). While some authors (e.g. Lewicki et al., 2010) use the term planning to describe the whole pre-negotiation preparation and planning process, Peterson and Lucas (2001) use a more narrow set of activities to define planning which cover only components two and three (Peterson & Shepherd, 2010). The fourth, and final, component in their model, Preparation (4), is concerned with the development and rehearsal of the customer presentation in addition to addressing the logistical concerns. The use of the term Preparation, to label the fourth theme, is another example of the inconsistent use of terms within the field as preparation is used, by many if not most authors, to define “What you do before you negotiate” and, hence, covers all four of the themes described above (e.g. Thompson et al., 2010; Hames, 2012). Consequently, there is no commonly accepted terminology and given that the purpose of this

dissertation is to enhance our understanding of negotiation preparation and planning, the inclusive term Negotiation Preparation and Planning (hereafter NPP) or Preparation and Planning (PP) has been opted for to define all of the activities conducted as part of getting ready for the customer negotiation. Any attempt to categorize the activities into either preparation or planning is a question beyond the scope of this dissertation.

While the model proposed by Peterson and Lucas offers a conceptualization of the different phases through which to structure the activities conducted, their review offers little information as to which activities fall into which themes and what their underlying categories contain. Furthermore, the model is based solely upon theoretical and normative sources, as no empirical research project has explored the aspects of negotiation preparation and planning and cannot, consequently, offer any information in terms of the relative importance of each of the activities listed (Peterson & Shepherd, 2010). Peterson and Shepherd (2010) have conducted an explorative study, in a more recent article, with the purpose of attempting to understand the activities undertaken by business negotiators in the pre-negotiation phase. The activities were identified on the basis of a literature review (which was not included in their article) and was enriched by a panel of three senior business negotiators and two senior faculty members involved in teaching and researching negotiation. As a second step the list generated included 34 activities, which were divided into the four themes from the aforementioned model, and which were successfully verified and found to be comprehensive using the Bolter simulation (Graham, 1984) carried out among 178 graduate students with an average of 5-6 years of working experience. This study is, to my knowledge, one of the first studies to offer empirical insights into the activities negotiators undertake when preparing and planning for a business-to-business sales negotiation.

A review of the literature on NPP activities will now be presented, beginning with Intelligence gathering, followed by Formulation, Strategy development, and finally Preparation, using the structure of the model proposed by Peterson and Lucas (2001) as a high level starting point. The inclusion criteria for the preparation and planning activity framework, to be developed, is that any theme, category, subcategory or activity must be reported by a minimum of three of the authors selected in order to be included in the model.

For the purpose of clarity, *themes* are defined as the overall structure of the model and have one numerical digit in the tables (e.g. Formulation is theme number 2, detailed overview of full model on page 284, Appendix A). Each theme has three or four *categories* each of which are assigned two numerical digits (e.g. 2.3 Reservation Points, from theme number two – Formulation. Categories, in turn, may have *subcategories* (e.g. 3.1.1. Logistical Concerns, Table 18) and subcategories may have underlying *activities* (e.g. 2.3.2.1. Customer Reservation Points for the Deal). To increase readability themes, categories, subcategories, and activities from the model will be cited by capitalizing all major words (title case) and is occasionally followed by the number code from the table. This code is always preceded by an M, for model, in order to avoid confusion with section and proposition numbering (e.g. M3.1.1. Logistical Concerns).

2.4.3 Information gathering.

Business negotiation is a process which is inherently dependent upon information where negotiators require information about their counterparts (Spector, 1993) in order to facilitate the planning process prior to the negotiation encounter (Peterson & Shepherd, 2010). The focus of the Intelligence Gathering phase is, hence, to collect information which will facilitate in the development of the Formulation and Strategy-Development phases. This stage is often considered

to be the most important by negotiators because it provides a foundation for all future decisions and recommendations (Peterson & Lucas, 2001) and is included either explicitly (Hames 2012; Lewicki et al., 2010; Watkins & Rosen, 1996) or implicitly (Thompson, 2009; Salacuse, 2003) by the selected authors. The term Intelligence Gathering, as used by Peterson and Lucas (2001), is referred to as *Information gathering* in most of the literature reviewed. Consequently, and with the purpose of creating consistency with the research literature, the term Information gathering rather than Intelligence gathering will be used from this point on in this thesis.

Peterson and Lucas (2001) have defined Intelligence (Information) gathering as the: “act of collecting, processing, analysing and evaluating available data concerning the other party and relevant environmental factors” (p. 39). Peterson and Shepherd (2010) have suggested nine different activities which they contend are also part of the Information gathering, eight of which are related to The other party and one of which is related to Environmental factors (gather data on market conditions).

Weiss (2006b) suggests that Information gathering should include details about the subject of the negotiation, the other party’s usual negotiation behaviour, the history of the relationship, and the culture of the other party. Weiss (1993) furthermore proposes 3 levels of activities (behaviours) in complex negotiations which include the pre-negotiation phase: organizations, teams, and individuals. According to Weiss (1993) these multilevel behaviours can take place in six different arenas:

Independent (undertaken by a party itself and relevant to the negotiation, but not communicated to the other primary party, e.g. planning); horizontal (action directed at the counterpart, typically at the negotiating table); internal (activity within a party such as a negotiating team); vertical (a party's communications with its superior or subordinate); lateral (non-vertical, negotiation-relevant actions directed at a party's

peers or colleagues); and external (directed beyond the negotiation setting and the primary parties, e.g. to mass media). (p. 285-286)

The multilevel behavioural analysis, suggested by Weiss, adds a new dimension to the NPP framework by not only identifying the activities conducted but also by understanding the levels on which the activities take place (e.g. team activity or individual activity) and the arena in which they take place (e.g. among management, i.e. the vertical arena), and, consequently, enhances the understanding of the multi-level and cross-level character of organizational phenomena which are often neglected in management research (Rousseau, 1985).

Watkins and Rosen (1996), who use the label *Gathering information about parties and issues*, propose that Information gathering ought to include research into the history of issues and precedents employed in resolving them. In addition, Watkins and Rosen (1996) suggest using outside-experts and interviewing people who have negotiated with the other party as a way to gain insights about the other side. Salacuse (2003) offers a comprehensive checklist for the global negotiator which underlines the need to understand the other party and the previous relationships as well as the competition and its influence on the upcoming negotiation. Thompson (2009) and Raiffa (1982) are both concerned about understanding the other party by seeking to know *who* they are, who the decision makers not likely to be at-the-table are, and whether the other party is monolithic. In the recent textbook on negotiation, authored by Hames (2012), Information gathering is part of the *Defining the situation* phase which includes many of the activities included by the author's works that have been described above.

Although the authors selected employ different terminology, and vary significantly in the number and kinds of activities recommended, a pattern did emerge as a result of the literature review on Information gathering. Each of the categories will be described in detail, on the pages

which follow, and are in keeping with the structure of Table 2, below, that summarises the findings and visualizes which authors address which categories of activities.

Table 2. Information Gathering Activities with Author Citing Overview.

Activity Category:	Support from literature	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
1. Information Gathering	100%	√	√	√	√	√	√	√	√
1.1. Environmental Context	50%	√			√		√		√
1.1.1. Economic	50%	√					√		√
1.1.2. Political	38%				√		√		√
1.1.3. Institutional-legal	38%				√		√		√
1.1.4. Cultural	63%		√	√	√		√		√
1.2. Nature of Interaction	100%	√	√	√	√	√	√	√	√
1.2.1. Negotiation Nature	100%	√	√	√	√	√	√	√	√
1.2.2. Industry Conventions and Norms	75%		√	√	√	√	√		√
1.3. Negotiation Context	100%	√	√	√	√	√	√	√	√
1.3.1. Scope of the Negotiation	50%		√	√		√			√
1.3.2. Future Relationship	50%		√		√				√
1.3.3. Linkage and Precedence	50%		√		√	√		√	
1.3.4. Competitive Alternatives	50%	√			√		√		√
1.3.5. Resources and constraints	50%			√	√	√			√
1.3.6. Own Constituents	50%			√	√	√			√
1.4. The Other Party	100%	√	√	√	√	√	√	√	√
1.4.1. Understand the Customer Organization	75%	√	√	√			√	√	√
1.4.2. Understand the Negotiation Team	100%	√	√	√	√	√	√	√	√
1.4.3. Understand the Individual Negotiators	100%	√	√	√	√	√	√	√	√

2.4.3.1 Environmental context.

The contextual environments are included by Weiss (1993, 2006b), Peterson and Shepherd (2010), Salacuse (2003), and Hames (2012) as being part of the process of Information gathering.

The contextual environments of business negotiations refer to the conditions which influence the main factors which are political, economic, institutional-legal, and cultural in nature, according to Fayerweather and Kapoor (1976) and Tung's (1998) framework of analysis. The Economic context includes many macro-economic factors such as interest rates, inflation levels, and market wages (Hames, 2012) as well as the current conditions of the market and industry (Weiss, 1993). Typical economic or environmental considerations, in the context of the company, include access to external funding and the market attractiveness depending on the state of supply and demand.

Governmental policies (Hames, 2012) and business-government relationships (Weiss, 1993) are examples of political factors. Some examples from business-to-business transactions would include governmental subsidy schemes and import barriers. The legal environment can influence the negotiator's attitude towards the law and litigation (Tung, 1998) and may have an impact on the contractual design in the context of the company.

The fourth, and final, factor within the environmental context is that of the national culture, for example, its ideology (Weiss, 1993), ethical environment (Hames, 2012), and dominant languages (Weiss, 1993), which may impact upon many aspects of the negotiation, such as decision-making (e.g. Weber & Hsee, 2000), negotiation strategy (e.g. Adair, Brett, Lempereur, Okumura, & Shikhirev, 2004; Brett, Shapiro, & Lytle, 1998), and the negotiation process (e.g. Salacuse, 1999). This part of the cultural Information gathering focuses solely on the national grouping of the people involved, whereas the fourth and final category, The other party, includes the ethnic and organizational cultures of the parties (e.g. Schneider, 1988; Hofstede, 1994).

2.4.3.2 Nature of the interaction.

The nature of the interaction (Hames, 2012) also labelled *The rules of the game* by Lewicki et al. (2010), encompasses the Information gathering activities related to the Negotiation nature and Industry conventions and norms. Every author, with the exceptions of Watkins and Peterson, includes all of these activities under the banner of Nature of interaction.

The nature of interaction defines the characteristics of the negotiation, such as exchange or dispute situations (Thompson, 2009), Single-issue or multi-issue negotiation (Raiffa, 1982), necessity or opportunity negotiation (Hames, 2012; Thompson, 2009), multi-round negotiation or single round (Lewicki et al., 2010; Watkins & Rosen, 1996; Weiss, 1993). In the context of the

company the negotiations can be defined as buyer-seller, business-to-business exchange transactions of made-to-order solutions with multiple negotiation issues and multiple negotiation rounds. The Negotiation nature, in the context of the company, is constant and is therefore not one that negotiators are expected to conduct as part of their NPP.

Industry conventions and norms (Thompson, 2009), also referred to as protocol (Lewicki et al., 2010), define a series of variables such as individual or teams negotiation (Salacuse, 2003; Weiss, 1993), public or private negotiation (Raiffa, 1982; Thompson, 2009), official contracts or handshakes (Thompson, 2009), number of offers made before reaching an agreement (Thompson, 2009), which party makes the first offer (Thompson, 2009), and whether ratification is required (Lewicki et al., 2010; Raiffa, 1982; Thompson, 2009). Although the negotiations are influenced by the aforementioned environmental context (which in the context of the company include the national culture and legal framework), the norms and conventions remain constant over time and across geographies. The protocol for the industry, as is customary in many major negotiations (Salacuse 2003), prescribe private team negotiations with ratification on both sides. Prior to arriving at an agreement, it is expected that the seller will make the opening offer and that it will be followed by concessions on both sides.

2.4.3.3 Negotiation context.

The Negotiation context helps the negotiators to assess the attractiveness of the deal and to determine the initial relative power balance between the parties (Raiffa, 1982; Thompson, 2009) and covers a series of activities, which often vary from negotiation to negotiation, even though the nature of the negotiation and industry remains unchanged. The literature review suggests collapsing

the activities into six categories: Scope of the negotiation, Future relationship, Linkage and precedence, Competitive alternatives, Resources and constraints and, finally, Own constituents.

Scope of the negotiation scope (Weiss, 2006b) covers the high level details about the negotiation, for example, financial structure, scope of supply, the number and origin of the parties who are directly involved (Raiffa, 1982), and other information that will help in the, forthcoming, detailed analysis. Lewicki et al. (2010) and Watkins & Rosen (1996) furthermore encourage looking into similar negotiations with other customers in order to gain insights. Examples from the context of the company are the power purchase agreement (PPA) of the customer, the financial model of the customer, the financial partners of the customer and so forth.

Future relationship is concerned with the long term relationship as well as the likelihood of repetitive deals and multiple deals (Raiffa, 1982; Thompson, 2009). The customer project pipeline (multiple deals) is one of the typical key factors in assessing the customer's attractiveness in the context of the company (e.g. Miller & Heiman, 2004). The future pipeline, in turn, contributes to the increasing relative power of the buyer (reward and coercive power), who, if other alternatives exist, can choose whether or not to award the seller with their future business (French & Raven, 1959; Kim et al., 2005).

Linkage effects refer to the fact that some negotiations affect other negotiations (Raiffa 1982; Thompson, 2009) and may constrain negotiators in the context of an on-going relationship (Watkins, 2003). Watkins (2000) claims that most negotiations are linked to other negotiations which take place in the past, the present, or will take place in the future and the ability to use linkages to advance one's own interests rests on the negotiator's ability to map the structure of the linked system. Hames (2012) also underlines the importance of understanding how the upcoming

negotiation has been influenced by previous negotiations and how the negotiation taking place in the present may influence future negotiations. Furthermore, Thompson (2009) argues that precedence is not only important as an anchor in the negotiation but is also seminal in defining the range of alternatives to the current predicament. In the context of the company's long lasting relationships, the linkage to preceding negotiations exists both within the same client relationships and also between the individual negotiators who may change employers.

Having a strong alternative to a negotiated agreement gives the negotiator power as it makes the negotiator less dependent upon the other party in the negotiation for the acquisition of the outcomes desired (Fisher et al., 1991; Mannix & Neale, 1993; Sondak & Bazerman, 1991). Although there are numerous sources of power applicable to negotiations (French & Raven, 1959), the ability to walk-away is regarded as the key source of one's bargaining power (Fisher et al., 1991; Raiffa, 1982; Thompson, 2001). Consequently, the competitive alternatives available to the buyer are important to understand in order to assess their relative power in negotiations. Similarly, the seller may have more or less power over the buyer, depending on the state of supply and demand.

Resources and constraints (e.g. information, expertise, alternatives, skills, materials, money, time, and procedures) are likely to influence goal setting (Hames, 2012) and more ambitious goals are often suggested to lead to better outcomes (e.g. Kray, Thompson, & Galinsky, 2001). The negotiators with the fewest constraints and the most substantial resources are likely to set more ambitious goals, while those working within tight constraints and with the least amount of resources are more likely to be conservative (Hames, 2012). Time constraints, in the shape of deadlines, are of particular importance to negotiators as the rate of concessions by negotiators increases as the

final deadline approaches (Lim & Murnighan, 1994). Although negotiators often consider time pressure to be a strategic weakness, something they tend to hide from the other party (Moore, 2004), the final deadline for one party is also the deadline for the other parties (Roth, Murnighan, & Schoumaker, 1988) and the consequences of deadlines are often predicted incorrectly (Windschitl, Kruger, & Simms, 2003).

The final category, Constituents, is related to understanding *who*, apart from the buying organization, will be affected by or may affect the negotiation (Hames, 2012). Lewicki et al. (2010), put it very bluntly by posing the following question, “Who are my constituents and what do they want me to do?” (p. 120). Even though members of a negotiation team are technically on the same side they may represent different constituencies (e.g. legal, finance, and sales) within the company which have different interests and priorities which do not necessarily align with the overall interests of the company (Brett et al., 2009). Other internal and external constituents (e.g. superiors, other managers, the media, and suppliers) are not at-the-table but can still influence the negotiation for example by imposing constraints or by providing resources. Consequently, in order to negotiate successfully one must first understand one’s constituents.

2.4.3.4 The other party.

Negotiators differ in their preferences, values, thoughts, and behaviours (Barki & Hartwoc, 2004). The interests and priorities of one negotiator or party may or may not, therefore, be similar to those of the other negotiators or party (Lewicki et al., 2010). Different interests and priorities make integrative negotiations possible (Froman & Cohen, 1970; Thompson, 2009) and misperceptions of the other party’s interests have been suggested as the primary cause of

suboptimal outcomes (Thompson & Hastie, 1990a). Consequently, understanding the other party is seminal for the negotiator and is central to negotiation preparation and planning.

Not surprisingly, all of the primary authors in this review mention activities related to understanding the other party as part of the Information gathering stage. Following Weiss (1993), the other party can be divided into 3 levels: organization (i.e. the buying organization), team (i.e. the negotiation team of the other party), and individuals (the negotiators and their constituents). Consequently, the activity categories can be labelled as desiring to: understand the customer organization, understand the customer negotiation team, and to understand the individual negotiators.

The information can be gathered from various sources, depending on the history and relationship between the buyer and the seller, typically from previous negotiations, from other people who have done business with the buyers, from peers and friends, and from internet sources (Lewicki et al., 2010).

Understanding the Customer organization includes understanding, “the decision-making process and the decision-making criteria of the company (Lewicki et al., 2010; Peterson & Shepherd, 2010; Salacuse, 2003), the organizational culture (Weiss, 1993), the customer’s constituents (Thompson, 2009), the parties shared experience (Lewicki et al., 2010), the buyer’s reputation and negotiation style (Lewicki et al, 2010; Thompson, 2009) and other information relevant to the company (e.g. financial statements) (Lewicki et al., 2010).

Understanding the Negotiation team includes understanding: who the team members are (Thompson, 2009), who are the constituents which are not present at-the-table (Friedman, 1992; Lewicki et al., 2010), what the issues to be negotiated are (Hames, 2012; Lewicki et al., 2010), what

the aligned interests, preferences, and priorities of the team are (Brett et al. 2009; Salacuse, 2003; Thompson, 2009) and, finally, what the best alternative outside the negotiation (Fisher et al., 1991; Salacuse, 2003; Thompson, 2009) and inside the negotiation are (Salacuse, 2003). Furthermore, Information gathering, relating to the negotiation team, should include a review of the negotiation style, strategies, and tactics applied in previous negotiations if applicable (Lewicki et al., 2010; Peterson & Shepherd, 2010; Raiffa, 1982; Weiss, 2006b).

The team members negotiating are not solely accountable to each other and their company; individual team members may also be accountable to particular constituencies within the organization (Bhefar et al., 2008). This situation is not limited to seller organizations, but also applies to buyer organizations, where the incentives of the different departments (e.g. legal, finance, and purchasing) are not necessarily aligned (Halevy, 2008; Raiffa, 1982). Consequently, understanding the individual negotiators interests, priorities, preferences, negotiation styles, and other influential conditions are important activities within the Information gathering stage.

2.4.3.5 Information gathering: A summary and propositions.

The information gathering theme consists of four different categories. The first category, the environmental context, describes the high level, macro-economic perspective (Hames, 2012) and the second category, nature of the interaction, encompasses the preparation activities related to the nature of the negotiation and to industry norm and conventions. The Negotiation context, the label given to the third category, includes the activities that help the negotiators to assess the attractiveness of the deal and to determine the initial relative power balance between the parties. The last of the four categories, the other party, is concerned with the activities conducted to understand the other party's organization, negotiation team, and individuals. Three of these four

categories that emerged from the literature review include recommendations from all eight authors and all subcategories comprise recommendations from three or more authors, even though the authors apply different terminology, and employ boundaries and categorizations which are inconsistent (Table 1).

In total, 50% of the authors cited the environmental context activities, the lowest support provided for any of the categories within this theme. Business negotiators typically work within the same regional areas and are expected to be familiar with the economic, political, institutional, and cultural contexts. Consequently, little change in the environmental context is expected from negotiation to negotiation, and from negotiation round to negotiation round, and therefore negotiators are not expected to conduct many, if any, of the activities listed. The environmental context describes the high level, macro-economic perspective (Hames, 2012), creating a foundation for the subsequent NPP activities (Peterson & Shepherd, 2010). Therefore, where activities are conducted they are expected to take place prior to the first team-on-team negotiation or in the initial phase of the negotiation. Given the investigative nature of the activities, they are expected to be conducted without the team, by consulting various written sources, and possibly by relying upon experts on subject matters inside or outside the company. Hence, the proposition for the Environmental context activities is:

(A for activity, the number is referring to the number in the NPP activity model)

Proposition A.1.1: Environmental Context activities will not be conducted by the company negotiators.

The Nature of interaction category finds support from all the authors selected. Both the Negotiation nature and Industry conventions and norms, in the context of a selling company, are

constant over the negotiation period and, hence, are not expected to be part of the negotiation activities conducted by the negotiators. Consequently, experienced negotiators are expected to be familiar with the way in which the negotiations generally unfold. Hence, the propositions for the Nature of the interaction activities are:

Proposition A.1.2: The Nature of the Interaction activities will not be conducted by the company negotiators.

The NPP activities, related to the Negotiation Context, are cited by all eight authors. All of the six underlying activities are expected to occur, as conditions vary from negotiation to negotiation, which entail the need for preparation initially in the process. Furthermore, three of the activity groups (competitive moves, changes in resources, new constituents) are expected to take place throughout the whole time span of the negotiation, as competitor's move, the availability of resources, and the number of constituents will typically change over the time line of the negotiation. According to Peterson and Shepherd (2010), the primary purpose of information gathering is to collect information that will facilitate the planning activities that follow in the formulation and strategy development part of the NPP. Consequently, negotiation context activities should usually, most likely be conducted individually or with others rather than as a team activity. On the other hand, given the importance of the negotiation power of competitive alternative in the hands of the customer (Fisher et al., 1991; Mannix & Neale, 1993; Raiffa, 1982; Sondak & Bazerman, 1991), one should expect discussions concerning the competitors to take place as part of team preparations. Hence, the propositions for the Negotiation context are:

(T for Temporal, L for Level for activity, the number is referring to the number in the NPP activity model)

Proposition A.1.3: Negotiation Context NPP activities will commonly be conducted by the negotiators (the definition of *commonly* will be discussed in the method chapter page 146).

Proposition T.1.3: Negotiation Context team NPP activities will primarily be conducted in the initial phase of the negotiation (the definition for *primarily* will be discussed in the method chapter page 155).

Proposition L.1.3: Negotiation Context NPP activities will usually be conducted without the team (the definition for *usually* will be discussed in the method chapter page 146).

The Other Party category enjoys the full support of the authors selected, including two of the three subcategories. This is no surprise as understanding the other party has been found to be crucial to a negotiation's success (e.g. Thompson & Hastie, 1990a). Consequently, it is expected that negotiators will investigate the other party as part of the preparation. This investigation will, in all likelihood, primarily happen outside the team preparations, as the sources are best investigated without the team (e.g. company web sites and social networks like LinkedIn) or with others (e.g. colleagues, former employees of the company, and other members of the network). The activities are expected to take place in the initial phase of the negotiation, but also prior to the different rounds especially when there are changes to the customers' organization or to the negotiation team. Hence, the propositions for the Other Party activities are:

Proposition A.1.4: The Other Party NPP activities will commonly be conducted by the negotiators.

Proposition T.1.4: The Other Party team NPP activities take place on an ongoing basis from start to finish (the definition for *ongoing* will be discussed in the method chapter page 155).

Proposition L.1.4: The Other Party preparation NPP activities will usually be conducted without the team.

Having concluded the literature review on Information Gathering, the following section will engage in a review of the recommendations in relation to the theme of Formulation. The Formulation theme, and the other remaining themes, comprises activities that are more future-oriented than the activities described in the Information gathering theme (Weiss, 2006b).

2.4.4 Formulation.

Formulation, as posited by Peterson and Lucas (2001), “entails developing goals, specific objectives, and setting the parameters for each issue to be negotiated” (p. 39). Formulation builds on the knowledge acquired in the information gathering phase and is directly related to planning activities (Peterson & Shepherd, 2010). Although most writers use different terminology there is a consistency among several groups of activities included under the formulation category as defined by Peterson and Lucas (2001), the most salient among which being: (1) issues to be deliberated including the underlying interests, positions, and the priorities (e.g. Fischer et al., 1991; Hames, 2012; Lewicki et al., 2010), (2) options or alternatives within the negotiation (e.g. Thomson & Hastie, 1990b), (3) reservation points, and (4) goal setting (Locke & Latham, 1990) also referred to as the objective, target or aspiration (Zetik & Stuhlmacher, 2002).

Each of the four categories of activities, within the formulation theme (Table 3), will be described in detail in the following section using the bibliography outlined previously as well as other relevant sources. All of the sources recommend conducting the formulation activities firstly in order to understand one’s self and secondly in order to understand that of the other party. Consequently, when describing the formulation activities, below, these concern the dual perspectives of one’s own self and that of the other party.

Table 3. Formulation Activities - Author Citing Overview.

Activity Category:	Support from literature	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
2. Formulation	100%	√	√	√	√	√	√	√	√
2.1. Issues, Interests, Positions and Priorities	100%	√	√	√	√	√	√	√	√
2.1.1. Issues and interests	100%	√	√	√	√	√	√	√	√
2.1.2. Positions	88%	√	√	√	√	√	√	√	
2.1.3. Priorities	100%	√	√	√	√	√	√	√	√
2.2. Options	100%	√	√	√	√	√	√	√	√
2.2.1. Options - Issues	88%	√	√	√	√	√	√	√	
2.2.2. Options - Deal	88%	√	√	√	√	√	√	√	
2.3. Reservation Points	100%	√	√	√	√	√	√	√	√
2.3.1. RP - Issues	100%	√	√	√	√	√	√	√	√
2.3.2. RP - Deal	100%	√	√	√	√	√	√	√	√
2.4. Goals	100%	√	√	√	√	√	√	√	√
2.4.1. Goals - Issues	100%	√	√	√	√	√	√	√	√
2.4.2. Goals - Deal	100%	√	√	√	√	√	√	√	√

2.4.4.1 Issues, interests, positions and priorities.

The topics under consideration in negotiation can be divided into one or more issues requiring separate decisions to be taken by the parties (Carnevale & Pruitt, 1992). While single-issue negotiations tend to dictate distributive negotiations (Lewicki et al., 2010), most real-world business negotiations are multi-issue negotiations (Pruitt & Carnevale, 1993; Raiffa, 1982; Watkins, 1999) with integrative potential and which, thereby, lend themselves more to integrative negotiations (Lewicki et al., 2010). The issues, also referred to as the agenda items by some scholars (e.g. Jordan & Roloff, 1991; Lewicki et al., 2010), are the specific components, topics or dimensions of the negotiation situation which must be addressed and together they comprise the *bargaining mix* (Lax and Sebenius, 1986). In other words, the issues are *what* one wants in the negotiation. Examples of typical issues in a business context are price, payment terms, transport terms, delivery terms, performance guarantees, product warranty, etc.

Each issue on the agenda has underlying interests. Interests are the needs, desires, and fears that drive our negotiations and these are different from positions which are the demands and offers a party makes during a negotiation (Fisher & Etrell, 1995; Munduate & Medina, 2005). The interests

are the reason one negotiates; they are the *why* (e.g. Fischer et al., 1991). Interests and issues are jointly treated in this section as they are closely related concepts and the search for both is often interlaced (Lax and Sebenius, 1986). Issues and interests are not the same however; for example, the price in a transaction is a habitual issue and the interest of the customer would normally be “low price”, which contrasts with the interest of the buyer. Price is, hence, a distributive issue – distributive issues that are equally important to the negotiation parties and the parties have opposed interests towards these issues (Thompson & Hastie, 1990b; Thompson et al., 1996). For any given issue the negotiator’s interests may be incompatible, indifferent or completely compatible with those of the other party (Fischer et al., 1991). In many cases, negotiators may have compatible interests on a subset of the issues, but may fail to realize them as in the well-known story of the two sisters (Fisher et al., 1991; Harvey, 1974; Lax & Sebenius, 1986), possibly as a result of the incompatibility error that occurs when negotiators assume that the other party’s interests are incompatible with their own in cases for which their preferences are perfectly compatible (Thompson & Hastie, 1990a).

Interests may be noneconomic as well as economic, tangible as well as intangible, altruistic as well as selfish, and team as well as individual (Lax & Sebenius, 2002). Lax and Sebenius (1986) have proposed grouping interest into four different types: (1) substantive interests, (2) relational interests, (3) process interests, and (4) principle interests. Substantive interests pertain to the tangible issues being negotiated (Lax & Sebenius, 1986; Lewicki, 2010). These might include price, payment terms or delivery date. Relationship interests pertain to the nature of the relationship you wish to have with the other party (Hames, 2012). Process interests are about how a deal is made or

how a dispute is settled (Lewicki, 2012). Principle interests are intangible and pertain to strongly held beliefs about what is right or wrong for example (Lax & Sebenius 1986, 2002).

To be able to negotiate efficiently it is in your best interest to know which issues are of a high priority to the other party as well as to yourself (e.g. Lax & Sebenius, 1986), as this knowledge will allow you to craft beneficial trade-offs of issues facilitating the discovery of integrative agreements (Pruitt, 1981; Thompson, 1991). The prioritization of issues should include both tangible and intangible issues (e.g. reputation, reference plant to a key customer, maintaining market share, etc.), the latter being much more difficult to rank and quantify (Lax & Sebenius, 1986; Lewicki et al., 2010). Integrative agreements are often achieved by trading-off concessions on low-priority issues for gains on high-priority issues, a tactic known as *logrolling* (Froman & Cohen, 1970; Pruitt, 1981; Raiffa, 1982; Tutzauer & Roloff, 1988). Logrolling requires the prioritization of issues through a thorough analysis of the relative value of each negotiation issue as well as through the establishment of linkages among issues. The use of logrolling can be counterintuitive because it entails yielding on one issue in exchange for high rewards on another. Thus, logrolling requires a consideration for the entire negotiation context and a willingness to abandon some less important issues (Jordan & Roloff, 1997). Failing to capitalize on the existing integrative potential as a result of the tendency to assume that the other party has the same issue priorities as one's own party is a judgement error labelled the *fixed-sum error* (Thompson & Hastie, 1990a). Each one of the sources in this review are in support of the suggested importance of the issue prioritization task, with the exception of the articles by Peterson & Lucas (2001) and Peterson & Shepherd (2010), and suggest that negotiators invest time prioritizing the issues from their own perspective and from the perspective of the other party.

Apart from determining the issues of the negotiation with their underlying interest and prioritising among them as described above, most scholars and textbooks recommend preparing possible alternatives, goals, and limits. These activities should be performed both for the individual issues and for the negotiation context as a whole. These are matters which will be discussed in separate paragraphs, below, given the importance of determining the alternatives, goals, and limits.

2.4.4.2 Options.

Options are possible alternative agreements negotiators could accomplish and still meet their interests (Lewicki, 2010); in other words, alternative solutions that may generate agreement between the parties and, consequently, make the parties sign the deal (Fisher et. al, 1991). Options embody possible alternatives at-the-table for both buyer and seller, inside the negotiation, not to be confused with a best alternative to a negotiated agreement or no-agreement alternative (Lax & Sebenius, 1986), which represents the alternatives outside the negotiation (Fischer et al., 1991). Similarly, although using a different terminology, Salacuse (2003) groups options into two categories: “the options that you have in the event that the negotiation fails and the options that you are willing to explore with the other side as a basis for the deal” (p. 35). Several alternatives may exist for any given negotiation issue (Thompson & Hastie, 1990a) and options operate, consequently, on both the issue level and at the deal level (Fisher & Ertel, 1995). While all of the literature reviewed includes advice on how to develop general options, fewer authors (Table 3) specify the need to look for “bits of an agreement” (Fisher & Ertel, 1995) if agreement on the whole is not possible.

Options can be created jointly between the parties during the negotiation but preparing options in advance will provide the negotiator with a cognitive advantage during the negotiation

(Fisher & Ertel, 1995). Identifying the other party's options and what they are prepared to accept, through the values, and perceptions is an activity of high importance (Watkins, 2000).

The best alternative to a negotiated agreement or BATNA (Fischer et al., 1991) is the best one can get outside of the negotiation and is not related to the customer at-the- table. Furthermore, according to Brett (2000), "In transactional negotiations, parties' BATNAs are frequently unrelated. The buyer has an alternative seller with whom to negotiate and the seller has an alternative buyer with whom to negotiate" (p. 100). This statement assumes that the sellers and buyers have alternative buyers and sellers, which is frequently not the case for the company, as a result of the overcapacity in the market at the time of the study (BNEF, 2014b; GWEC, 2013). The alternative for the Seller outside of the negotiation, the seller BATNA, is not whether to sell to somebody else but rather not to manufacture and to assume the consequences.

2.4.4.3 Reservation points.

The reservation point, as with alternatives inside and outside the negotiation, operates on two levels: the deal level and the issue level.

The BATNA is the basis for determining reservation points (also called resistance points, reservation price or walk away prices) of the deal and of the individual issues. The reservation point (hereafter RP) is a negotiator's subjectively determined bottom line—the point at which negotiators are indifferent to reaching agreement or to walk away (Thompson et al., 2010). The reservation point is the quantification of the BATNA and specifies what the BATNA represents with respect to other alternatives (Raiffa, 1982; Thompson, 2009; Walton & McKersie, 1965). Quantifying the BATNA is not always simple and the computation of subjective values, or the expected probabilities of obtaining certain outcomes, may be necessary (Lax & Sebenius, 1986; Thompson,

2009). The concept of BATNA applies to the entire negotiation, save for the situation in which the negotiators can satisfy their interest in different issues by individual parties (e.g. in the context of the company, the wind farm infrastructure can be supplied by the seller or a third party) making the BATNA issue-specific. When conducting major negotiations in the context of the company, as in most organizations (Salacuse 2003), the deal reservation point is the minimum contribution margin accepted in the individual deal and is defined by management according to the negotiation mandate given.

The deal reservation point or deal mandate sets the limits that preclude the negotiator from agreeing to a deal where the costs of the agreement proposed exceed the benefits (Fisher & Ertel, 1995; Hames, 2012; Lewicki, 2010). Furthermore, the reservation point has, in one study, been found to have the most direct effect on the negotiated outcome when it was made available to negotiators together with their aspiration level and market price (Blount-White, Valley, Bazerman, Neale, & Peck, 1994), suggesting that the development of the reservation point is an important activity. Similarly, limits on the individual issues, often referred to as deal-breakers (e.g. Fells, 2012; Watkins, 2002), will help the negotiator from entering into agreements beyond his or her authority (e.g. extended warranty). Conversely, setting a threshold on the individual issues, in the shape of deal-breakers or non-negotiable issues, tend to have a negative influence on the possibility of reaching integrative agreements as opposed to the more holistic overall integrative approach (Froman & Cohen, 1970; Lax & Sebenius, 1986).

Understanding one's own and the other party's estimated issues, interests, priorities, and RP will help to identify the range of possible settlement, the *zone of possible agreement* (hereafter ZOPA), and the range between the negotiators' reservation points (Lax & Sebenius, 1986; Hames

2012). In a single-issue negotiation between a buyer and a seller, the ZOPA (also known as bargaining zone or settlement range, Lewicki et al., 2010) will be between the highest price a buyer is willing to pay and the lowest price a seller is willing to sell for (Thompson et al., 2010). If the ZOPA is positive, that is that the buyer is willing to pay a higher price than the lowest price the seller is willing to sell for, the possibility to create a mutually beneficial agreement can be arrived at. The bargaining zone only tells us whether it is possible for parties to agree, but not if agreement will be reached (Thompson & Fox, 2001). Negotiators are motivated to cooperate with the other party to ensure that an agreement is found by creating a positive bargaining zone (creating value), but they are also motivated to compete with the other party to claim as much of the bargaining surplus for themselves, which illustrates the mix-motive nature of negotiation (Lax & Sebenius, 1986; Thompson, 2009).

2.4.4.4 Goal setting.

Tasa, Whyte, and Leonardelli (2013) have, in a recent review on goals and negotiation, concluded that the extant research supports the notion that goal setting is an integral part of successful negotiation preparation and planning, which is in line with the recommendations offered in the textbooks included in this review (e.g. Hames, 2012; Lewicki et al., 2010; Thompson, 2009) as well as the more general research on the relationship between goals and performance (Locke & Latham, 1990). While the evidence on the effect of goal setting on the outcomes negotiated suggests that goals are potentially highly influential, these effects may be positive or negative depending on the type of negotiation, the type of goal, and how these goals are formulated and perceived (Tasa et al., 2013). Consequently, the above suggests that the standard advice to

negotiators to set optimistic but realistic goals as part of the negotiation preparation (e.g. Thompson, 2009), needs to be more nuanced in order to reflect the context in which it is offered.

According to Locke, Shaw, Saari, and Latham (1981) goals are “what an individual is trying to accomplish; it is the object or aim of an action” (p. 126). Therefore, in negotiation aspirations, objectives, and target points all fit the definition of a goal (Zetik & Stuhlmacher, 2002). Goal setting, although it is part of an iterative process, ideally takes place when the information has been gathered and issues, interests, priorities, and options have been developed (Tasa et al., 2013).

Whereas a large body of research has focused on the relationship between goals and performance in the measure of substantive outcomes, other goals related to the subjective outcomes should be equally considered as being part of the negotiation preparation and planning (Hames, 2012; Lewicki et al., 2010). Examples of the substantive goals might include the price or the contribution margin; examples of subjective goals, in turn, might include the development of the agenda and the desired negotiator behaviour at-the-table (process or procedural goals) or the maintaining of the relationship, establishing precedence or determining satisfaction with the outcome. Effective goals are those that are clear, specific, measurable, and challenging but which are still attainable (Locke & Latham, 1990; Mitchell, Thompson, & George-Falvy, 2000; Roloff & Jordan, 1991) and serve many purposes such as: clarifying expectations, determining priorities, and understand which information is missing. Consequently, effective goals guide the tactical choices and behaviour at-the-table (Hames, 2012; Lewicki et al., 2010).

All of the sources consulted as part of this literature review include goal setting as part of the recommended preparation and planning in some form. Some authors, for example, Hames (2012) and Lewicki et al. (2010), use the label goal to define the overall objective of the negotiation

– what the negotiator wants to accomplish by negotiating – and use the label aspiration level of target point to define the narrower specific goal for each issue. Polzer and Neale (1998) use a similar differentiation when examining the impact of goal scope on negotiation performance, that is, the difference between having one overarching goal versus having sub-goals on each issue. Most authors, however, tend to focus their prescriptive advice on the aspiration level, target points or bargaining objectives which are defined as what one can realistically achieve on each issue (Lewicki et al., 2010; Hames, 2012).

2.4.4.5 Formulation: A summary and propositions.

Formulation builds upon the knowledge acquired in the information gathering phase and contains four distinct, consistent, and coherent categories: (1) Issues, Interests, Positions and Priorities, (2) Options, (3) Reservation Points, and (4) Goal Setting. All categories are supported by the totality of the literature selected (Table 3, page 56). Similarly, each of the nine subcategories comprised under formulation are addressed by seven or more of the eight authors. The formulation planning should ideally take place as a process which begins with the issue development and ends with the goal setting in one or more iterations and all four categories are expected to be represented with planning activities in the context of the company.

The importance of understanding the customers' perspective is emphasised in both the academic (e.g. Thompson & Hastie, 1990a; Galinsky & Mussweiler, 2001) and practitioner's literature (e.g. Fisher & Ertel, 1995; Lempereur & Colson, 2010). Conversely, the fixed-pie error, or "[...] the tendency to assume that the other party places the same importance – or has the same priorities as the self – on the to-be-negotiated issues when the potential for mutually beneficial trades exists" (Thompson & Hastie, 1990a, p. 101), suggest that negotiators spend more time

preparing their own perspective. Likewise, Rackham and Carlisle (1978) in one of the few studies investigating the content of the preparation and planning session found that average negotiators spent only 11% of their time anticipating the existence of common ground. In the case of the skilled negotiators, the time invested was 38% in a study. Hence, the proposition for the Formulation activities is:

(D for dual concern)

Proposition D.1: Negotiators engage in fewer NPP formulation activities from the other side's perspective than their own.

Proposition D.2: Negotiators engage in fewer integrative than distributive NPP activities.

The category Issues, Interests, Positions, and Priorities gets support from all authors selected. Negotiation issues are specific components of the negotiation situation (Lax and Sebenius, 1986), these preparation activities are necessary to be able to develop options, reservation points and goals (Tasa et al., 2013). Consequently, the activities are expected to be conducted and conducted primarily in the initial phase of the negotiation. As a result of the criteria for the composition of a team, where each member participates with their expert knowledge in their unique subject matter, it is expected that the activities concerning interests, positions, and on the priorities activities are usually conducted without the team. More formally, the propositions for this category may be stated as follows:

Proposition A.2.1: Issues, Interests, Positions, and Priorities NPP activities will commonly be conducted by the negotiators.

Proposition T.2.1: Issues, Interests, Positions, and Priorities NPP team activities will primarily be conducted in the initial phase of the negotiation.

Proposition L.2.1: Issues, Interests, Positions, and Priorities NPP activities will usually be conducted without the team.

The activities bundled under the term Options finds support by all of the authors selected. Option generation is expected to happen throughout the negotiation process as potential solutions may appear at virtually any time during the negotiation (Moore & Woodrow, 2010), such as when either party has dropped some of their goals (Pruitt, 1981). Consequently, it is expected that option development activities will take place throughout the process. To develop options, that will satisfy the needs of all parties, one needs to understand the underlying interests and priorities of all of the stakeholders (Watkins, 2000). To do so in the best possible manner it should be conducted including the knowledge and perspective of the full negotiation team and this group of activities is therefore usually expected to take place as a team activity. Consequently, I predict:

Proposition A.2.2: Option NPP activities will commonly be conducted by the negotiators.

Proposition T.2.2: Option NPP team activities will be conducted on an ongoing basis throughout the process.

Proposition L.2.2: Option NPP activities will usually be conducted as team activities.

The Reservation Point (RP) category finds support from all of the authors selected. In the context of seller business negotiations, the reservation point on item level and deal level are expected to be given through a mandate from management and through internal policies and possible deviations are expected to be discussed in advance of the negotiation. The RP's of the buyer will probably change from customer to customer and from deal to deal, which should encourage negotiators to prepare for the customer's perspective unless negotiators are affected by the fixed-pie error and, therefore, assume that the other party's interests and priorities negotiators are similar to their own (Gelfand & Christakopoulou, 1999; Pruitt & Lewis, 1975). Assessing one's reservation point is a prerequisite to goal setting which, in turn, is a prerequisite to conducting

strategy planning activities (Tasa et al., 2013). Consequently, the RP activities are expected to be conducted in the initial phase of the negotiation primarily. Just as in the category of Issues, Interests, Positions, and Priorities, each team member participates with their expert subject matter knowledge and are, hence, expected to prepare the reservation points on issues with colleagues within their area prior to meeting with the negotiation team. Similarly, the reservation point at the deal level is expected to be the sales manager's responsibility, not the whole team's responsibility. In sum, the propositions for this category may be stated as follows:

Proposition A.2.3: Reservation Points NPP activities will commonly be conducted by the negotiators.

Proposition T.2.3: Reservation Points NPP team activities will be conducted in the initial phase of the negotiation process.

Proposition L.2.3: Reservation Points NPP activities will usually be conducted without team.

As a result of abundant evidence that goals increase performance (Locke & Latham, 1990; Locke et al., 1981), Goal Setting is expected to be a dominant planning activity. Strategy can be defined as the overall plan to accomplish one's goals in a negotiation (Lewicki et al., 2010) and research has found that specific goals are frequently developed prior to negotiation (Putnam, Wilson, & Turner, 1990; Rackham & Carlisle, 1978). Thus, Goal Setting is expected to take place primarily in the initial phase of the negotiation. Moreover, as participative goal setting is suggested to be related to higher performance (Erez, Earley, & Hulin, 1985), it is expected that most preparation activities will be conducted as team activities. Thus, I advance the following proposition:

Proposition A.2.4: Goals NPP activities will commonly be conducted by the negotiators.

Proposition T.2.4: Goals NPP team activities will be conducted in the initial phase of the process.

Proposition L.2.4: Goals NPP activities will usually be conducted as team activities.

Having established *what* the negotiator wants from the negotiation and *why*, together with the best possible knowledge about the other party and about the situation, the next three themes are concerned with *how* the goals can be converted into a reality.

2.4.5 Strategy development.

According to Mintzberg and Quinn (2003) the definition of strategy is "the pattern or plan that integrates an organization's major goals, policies and action sequences into a cohesive whole" (p. 10), Lewicki et al. (2010) translate this definition into a negotiation context in the following way, "The overall plan to accomplish one's goals in a negotiation and the action sequence that will lead to the accomplishment of those goals" (p. 110). Similarly, Calantone et al. (1998) have stated that, "The negotiation strategy [...] refers to the overall game plan that negotiators employ to accomplish their goals" (p. 33). This part is, hence, the last part of the planning where it all comes together in anticipation of the customer negotiation meeting.

So far the focus of prescriptive advice has been related to how to plan and to prepare to negotiate the issues of the negotiation. In addition, some authors such as Fells (1996), Lax and Sebenius (2006), Lewicki et al. (2010), and Watkins (2006) for example, stress the importance of orchestration to the process of the deal – how to conduct negotiation processes by taking the contextual and structural elements into consideration. Lax and Sebenius (1986) describe this dimension of the negotiation as *setting-the-table*, a term that will be used in this dissertation from this point on. When using the term *setting-the-table*, the "table" may be a virtual table, as most of

the customer interactions take place via conference call and videoconference in the context of the customer. Fells (1996), in a personal review on the preparation taken for a negotiation, has made the following statement:

While the focus of preparation will inevitably be on the issues being negotiated, giving greater and more specific attention to the process of how the agreement might be achieved will open the way for a better management of the negotiation. This will enhance the effectiveness of the interaction between the parties and enable them to achieve more than otherwise would be possible. (p. 59)

Furthermore, agreeing upon how to negotiate can be an important negotiation in itself especially when teams are involved because it enables the negotiators to effectively coordinate and manage the additional challenges (Hames, 2012).

Consequently, strategy development contains two primary groups, the strategies and tactics *at-the-table* and strategies and tactics deployed to *set-the-table* in order to achieve the goals of the negotiation. The term *tactics* is applied in this dissertation to define specific, short-term actions that serve to implement the broader negotiation strategy (Lewicki et al. 2010).

Two main strategies currently dominate the theorizing of negotiation: integrative strategy, behaviours motivated by concern for one's own and other's interests, and distributive strategy, behaviours motivated by concern for their own interests (Pruitt, 1983; Putnam, 1990). Similarly, two classes of models—the dominant strategy (distributive or integrative) and the mixed strategy (distributive and integrative)—capture differences in how the negotiation process is conducted (Putnam, 1990). The central tenet of the dominant strategy model is that the negotiation process is static over time; that is, negotiators consistently use either an integrative or a distributive strategy for the duration of the negotiation (e.g. Pruitt & Lewis, 1975), which is inconsistent with the dominant view of the processes required to resolve mixed-motive tasks (Putnam, 1990). Although

negotiation researchers have long recognized that individuals have a dominant strategic orientation (De Dreu, Weingart, & Kwon, 2000), the mixed strategy model presents a more dynamic view which allows for the use of integrative and distributive strategies in the same negotiation and by the same negotiator. Moreover, previous empirical studies by Munduate, Ganaza, Peiró, and Euwema (1999), and Van De Vliert, Euwema, and Huismans (1995) have demonstrated that mixing negotiation styles leads to higher negotiation effectiveness. According to Olekalns et al. (2003):

Dominant strategy models are better able to capture simple negotiations, that is negotiations with a small number of issues and of relatively short duration whereas mixed strategy models are better able to capture complex negotiations, that is negotiations with multiple issues that require more time and greater coordination to resolve. (p. 193)

Consequently, the complex team-on-team business negotiations, conducted by the company, are expected to be mixed-motive negotiations in which integrative (cooperative) and distributive (competitive) strategies and tactics are used in the pursuit of both outcome and relationship goals (Wilson & Putnam, 1990). In order to develop mutually beneficial solutions negotiators need to balance the dual goals of creating value, to reach agreement, and claiming value to ensure a personally satisfactory outcome (Olekalns & Weingart, 2008). Consequently, effective negotiation depends upon the ability of parties to manage both the integrative and distributive components of the negotiation task (Kumar, 1997; Lewicki et al., 2010). This thoughtful blend of cooperating and competing as negotiators strive to maximize outcomes for both parties and is also known as problem-solving or the collaborative approach (Pruitt, 1981; Olekalns & Weingart, 2008). A problem-solving, or collaborative, approach is recognized as the strategy best able to produce lasting agreements that meet the aspirations of both parties (Pruitt, 1981).

Accordingly, the negotiation textbooks tend to consign the strategic, prescriptive advice to two separate chapters covering distributive and integrative negotiation (e.g. Hames, 2012; Lewicki et al., 2010; Thompson, 2009). While the advice on how to conduct the information gathering and the formulation is found primarily in a preparation and planning chapter, which focuses on tasks through which to conduct a mixed-method negotiation, the strategy development sections are more focused on how to conduct the at-the-table part of the negotiation, with little attention being paid to what should be planned prior to that in order to achieve the goals of the negotiation.

In light of the reasoning above, and the findings in the forthcoming part of the literature review, and strategy development will be separated into three separate preparation and planning themes, thereby departing the initial classification suggested by the Peterson & Lucas (2001) framework: (1) Setting-the-Table: The Process, (2) At-the-Table: Integrative Strategy and Tactics, and (3) At-the-Table: Distributive Strategy and Tactics. Each of the three sections synthesises the prescriptive preparation and planning advice found in the literature selected as well as other relevant sources.

2.4.6 Setting the table: the Process.

Setting the table is essentially concerned with *how* to work together as well as with *what* to negotiate (Fortgang, Lax, & Sebenius, 2003; Kolb & Williams, 2001) and happens in parallel with the substantive negotiation. How and what to negotiate is not addressed explicitly very frequently (Lewicki et al., 2010); still, Lewicki et al. (2010) recommend new bargaining relationships to negotiate “procedural issues before the major substantial issues are raised” (p. 136), especially when negotiating with people who have a strong process frame (Lewicki & Hiam, 2011). Monitoring the process of the negotiation during the substantive negotiation is also recommended

and negotiators can influence the process if necessary (Kolb & Williams, 2001; Lewicki et al., 2010; Watkins, 2002). Negotiation impasses occur not only because of the issues negotiated, but also because of the absence of a clearly defined process (Lempereur & Colson, 2010) and negotiators are encouraged to influence the setting of the table both at-the-table and away-from-the-table (Watkins, 2006).

Unlike in sports games, like tennis where the rules and structures are set in stone, negotiators can influence both the structure and the rules of the negotiation (Watkins, 2006). As discussed under Nature of the interaction (page 63), some industry norms and conventions do exist and are not negotiable (e.g. negotiation in teams and official contracts with ratification of both parties) but the structure remains open and many other rules can be negotiated, and are described as follows.

In accordance with the prior discussion on team-based negotiations (page 29) and under the Nature of interaction (see page 63) we can conclude that most business negotiations are team-on-team, which creates the need for a third subcategory as part of setting-the-table in the context of the company. Consequently, How to organize the team is included as an additional subcategory in this theme (Table 4).

Table 4. Setting-the-Table Activities - Author Citing Overview

Activity Category:	Support from literature	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
3. Setting-the-Table	100%	√	√	√	√	√	√	√	√
3.1. How to Negotiate	100%	√	√	√	√	√	√	√	√
3.1.1. Logistical Concerns	100%	√	√	√	√	√	√	√	√
3.1.2. Participants	38%		√	√		√			
3.1.3. Procedural and Ground Rules	75%		√	√	√		√	√	
3.1.4. Role-Play and Rehearsal	63%	√	√	√		√	√		
3.2. How to Organize the Team	100%	√	√	√	√	√	√	√	√
3.3. What to Negotiate - Agenda	100%	√	√	√	√	√	√	√	√

Note: 3.1.1 How to Negotiate shows the final result after integrating Logistical Concerns and Role-Play and Rehearsal from the initial Preparation theme (see page 123). *The category structure does not, therefore, follow the text in the section How to negotiate starting below.*

2.4.6.1 How to negotiate.

How to negotiate is not covered by any of the sources selected in one heading, save for Lewicki and colleagues (2010) in the chapter on *Managing Negotiation Impasses*. Most other sources do, however, make reference to ground rules or the rules of interaction throughout the chapters. Inspired by the structure proposed by Lewicki et al. (2010), a number of questions negotiators should consider when preparing for the negotiation interaction, which is described in the section which follows.

Communication medium.

Phone calls, videoconferencing, telepresence, and computerized chats allow for immediately response, whereas media such as e-mail and voicemail delay the communication process (Shell, 2006). The choice of media for the negotiation and thereby the synchronicity (Hames, 2012) and richness (Daft & Lengel, 1983; 1986) of the information exchange influences the social awareness and behaviour of the negotiators (Hames, 2012; McGinn & Crosin, 2004). Where the electronic media offers greater convenience, other essential rapport building activities may be lost (Drolet &

Morris, 2000; Morris, Nadler, Kurtzberg, & Thompson, 2002). Consequently, it is essential to match the medium to the message (Watkins, 2002).

Participants.

Who will be at-the-table (Lewicki et al., 2010; Thompson, 2009) from both sides is covered in Understanding the Negotiation Team (M1.4.2, page 67) and Size and Composition of the Team (M3.2.1, page 94), and is not the express purpose of this section. This section, rather, addresses Raiffa's question (1982) "Who should negotiate?" (p. 127), more specifically, *how* can the composition of the negotiating teams be altered to better serve the seller's interests, including who will be observing the negotiation (Lewicki et al., 2010)?

Procedural and ground rules.

Should the agenda be explicit (Hames, 2012)? Should an agreement on general principles be reached before entering into the substantive agreement (Lewicki et al., 2010)? Who will take notes and how will the records be kept (Lewicki et al., 2010)? Who will draft the contract (Watkins, 2002)? How will agreements be rectified (Raiffa, 1982)? Should decisions be kept tentative until all aspects of the final proposal are completed (Lewicki et al., 2010)? Should subgroups be used to evaluate and negotiate certain topics (Lewicki et al., 2010)? What should the verbal and written language be (Salacuse, 2003)? Other rules could also be agreed upon prior to the negotiation such as:

- Don't attack others (Lewicki et al., 2010).
- Do take time to cool off (Lewicki et al., 2010; Ury, 1993).

- Don't reciprocate contentious communication. Don't explicitly label the other party's contentious actions as counterproductive (Brett et al., 1998).
- Do take time to reassess the process and make amendments (Lewicki et al., 2010).
- Do consider building momentum through action-forcing events such as deadlines, meetings and other action that forces the negotiators to make hard decisions (Watkins, 2006).

Lewicki and his colleagues (2010) also mention Where to negotiate and the Time of the negotiation as possible ground rules. These concerns, however, belong to the Preparation theme under the category of Logistical concerns and will be dealt with in due course, following the suggested structure offered by Peterson & Lucas (2001).

2.4.6.2 How to organize the team.

Watkins (2000) states that “deciding whom to bring to the table and about what to negotiate are among the most important choices negotiators make” (p. 8) a view corroborated by most of the authors selected. Furthermore, the literature reviewed does underline the importance of size and composition of the team, and the roles and responsibilities of its members. In addition, recent research points to the importance of team alignment as part of the negotiating preparation and planning (Brett et al., 2009). Consequently, negotiators are advised, as part of setting-the-table, to consider: (1) the Size and Composition of the Team, (2) Roles and Responsibility of the Team members, and (3) the Alignment of the Team.

Size and composition of the team.

A larger team obviously helps to ensure that the necessary knowledge is available to the team, but at the same time increases the complexity in terms of coordination and communication (Cohen & Thompson, 2011; Hames, 2012; Thompson, 2009). The ideal size of the team depends on the skills of its members and the nature of the task (Thompson, 2011), but generally teams should have fewer than ten members and not more than the smallest number of people who are capable of solving the task (Hackman, 1987; Thompson, 2011). Latané (1981) referred to by both Hames (2012) and Thompson (2009) argues that team performance peaks at around four to five members. When composing the team with the right number of members, Thompson (2009) suggests considering three key criteria: Negotiation expertise, technical expertise, and interpersonal skills.

Roles and responsibilities

Research by Behfar, Peterson, Mannix, and Trochim (2008) suggests that teams should assign roles to members who have relevant task experience rather than assigning them based on convenience or volunteering. Thompson (2009) recommends that teams at least assign the role of timekeeper, process manager, and scribe. Lewicki et al. (2010), furthermore suggest that the spokesperson's role is to reduce unintentionally revealing information.

Alignment of the team

The parties to a complex negotiation are rarely monolithic (Halevy, 2008) and parties must often conduct complicated and delicate internal negotiations as part of their effort to create consensus for an upcoming external negotiation (Watkins & Rosen, 1996).

Even though team members should be on the same side, research by Brett et al. (2009) has found that negotiation teams often have different interests which makes the team preparation important as teams which have different interests have been shown to lead to less integrative outcomes (Halevy, 2008). Furthermore, team preparation has been suggested to increase team members shared understanding of the underlying interests (Swaab, Postmes, Beest, & Spears, 2007; Swaab et al., 2011). According to Brett et al. (2009):

Gaffes made at the bargaining table are usually the result of genuine differences in participants' negotiation styles, a lack of preparation, or frustration. Although rarely intentional, breakdowns in discipline sabotage a team's strategy in ways that are almost impossible to recover from. Such breakdowns reveal fissures that the other party eagerly exploits. (p. 107)

Consequently, effective teams need to reach agreement between the members on goals, issues, interests, targets, etc. (Hames, 2012).

2.6.6.3 What to negotiate – preparing the agenda.

When negotiating, the parties can explicitly or implicitly follow an agenda (Thompson, 2009). Preparing an agenda is valuable because it forces negotiators to consider objectives and positions (Lewicki et al., 2010) and is considered to be one of the most important, structural aspects of any negotiation (Busch & Horstmann, 2002; De Dreu, Giacomantonio, Shalvi, & Sligte, 2009; Pendergast, 1990). Furthermore, planning and controlling the agenda will also allow the negotiator to both create value and to claim value on his or her high priority issues (Thompson, 2009). Research on mixed motive negotiation by Thompson, Mannix, and Bazerman (1988), however, found that fewer integrative agreements were created by groups who used an agenda than groups who did not, due to the agenda forcing negotiators to negotiate issue by issue. Rackham and

Carlisle (1978) have also found that the tendency of skilled negotiators to think about the negotiation agenda in a seemingly disorganised rather than linear fashion enabled them to identify more linkages between issues and thus to be more creative during the negotiation itself. Pendergast (1990) proposes five major tactical and strategic topics for negotiators, who have decided to work with an agenda, and which ought to be prepared prior to a negotiation: (1) Scope, (2) sequence, (3) framing, (4), packaging, and (5) formula.

- *Scope*. Which items should be included on the agenda (Salacuse, 2003; Watkins, 2002)?
- *Sequence*. In which order should the items be discussed (Flamini, 2007; Malhotra & Bazerman, 2007; Salacuse, 2003)? In the crescendo approach the topics are addressed in order of increasing difficulty. The decrescendo approach is the inverse method, where the most sensitive item is dealt with at the start (Flamini, 2007; Lempereur & Colson, 2010).
- *Framing*. How should the items be presented to the other party (Lewicki et al., 2010)?
- *Packaging*. Should the agenda follow the common one-by-one issue approach or package the issues as recommended by most authors in this literature review (Bazerman & Neale, 1993; Thompson, 2009)?
- *Formula*. Should the agenda be agreed upon prior to the meeting (Salacuse, 2003)? Does the agenda allow for surprises and topics people would rather not discuss (Salacuse, 2003)? What will the opening stance be (Lewicki et al., 2010)?

2.4.6.4 Setting the table: A summary and propositions.

Setting-the-table is concerned with how to work together and what to negotiate about (Fortgang et al., 2003; Kolb & Williams, 2001) and negotiators are encouraged to have an impact on the setting of the table both at-the-table and away-from-the-table (Watkins, 2006). The theme is divided into three categories: (1) How to Negotiate, (2) How to Organize the Team, and (3) What to Negotiate – the Agenda.

The need to think ahead and to prepare How to Negotiate enjoys the full support of the authors selected and sounds like good advice to follow intuitively, as suggested in more recent books and articles directed towards the field of practitioners (e.g. Lax & Sebenius, 2006). Still, negotiation research on executives reveals that negotiators often ignore how to negotiate (Kolb & Williams, 2001), which corroborates my own experience as a negotiator in team negotiations with the same characteristics as those of the company. Research group dynamics suggests that there is a recognised gap between where groups are headed and where they wanted to be and triggers a redirection of group processes (Jett & George, 2003; Okhuysen & Eisenhardt, 2002). Similarly, in dyadic negotiations, such as the negotiations under study here, temporary impasses have been found to trigger a shift in negotiators' strategies (Harinck & De Dreu, 2004). Turning points, defined by Druckman and Olekalns (2011) as “events or activities that change the direction of negotiation, usually moving from impasse to progress” (page 2), take the form of clear, self-evident departures from earlier events or patterns during the negotiation process, sometimes appearing rather suddenly, and more gradually at other times (Olekalns and Weingart, 2008; Druckman, 2004). Consequently, it is expected to see increased setting-the-table activities after an impasse or deadlock and prior to turning point in the negotiation. Given the need to work together at the negotiating table, agreeing

on the ground rules and on the agenda is expected to be conducted as a team preparation activity, given the need for input from all parties. One would expect the team to be together in the event that an impasse occurs and, therefore, the negotiating team will also need to work together after any impasse to determine how they will manage the next steps in the negotiation. Hence, the propositions for How to Negotiate are:

Proposition A.3.1: How to Negotiate NPP activities will commonly be conducted by the negotiators.

Proposition T.3.1: How to Negotiate NPP team activities will primarily take place after an impasse or deadlock in the negotiation.

Proposition L.3.1: How to Negotiate NPP activities will usually be conducted as team activities.

The category of How to Organize the Team obtains support from all of the authors selected.

Who should constitute the negotiation team is a key decision for the negotiation team (Watkins, 2000) and roles should be assigned to members who have relevant task experience (Behfar et al., 2008a). Therefore, activities are primarily expected to be conducted before the first rounds of negotiations and during the negotiation, in the event re-alignment, and the redistribution of roles and responsibilities is required (e.g. change of strategy or change in team members). The discussion concerning the alignment of the team is also considered to be an important part of team NPP according to recent research by Brett and colleagues (2009). As a result, the proposition for this category may be stated as follows:

Proposition A.3.2: How to Organize the Team NPP activities will commonly be conducted by the negotiators.

Proposition T.3.2: How to Organize the Team NPP team activities will primarily be conducted in the initial phase of the negotiation, and if there is a change in the members of the team or in the strategy.

Proposition L.3.2: How to Organize the Team NPP activities will usually be conducted as team activities.

The activities bundled under the banner of What to Negotiate also finds support by all of the authors selected. Given the important structural aspects of the negotiation agenda (Busch & Horstmann, 2002; De Dreu et al., 2009; Pendergast, 1990), and the need to adapt the agenda from negotiation to negotiation, the activities within this category are expected to be commonly conducted by the negotiators. Discussing the agenda items is expected to be a team activity where each team member will bring their perspective and skills to the table. Similarly to the How to Negotiate category, activities are expected to take place after an impasse to adapt the agenda to the new strategy and to possibly reduce the number of substantive issues, as suggested by Lewicki et al. (2010). Hence, the propositions:

Proposition A.3.3: What to Negotiate NPP activities will commonly be conducted by the negotiators.

Proposition T.3.3: What to Negotiate NPP team activities will take place primarily after an impasse or deadlock in the negotiation.

Proposition L.3.3: What to Negotiate NPP activities will usually be conducted as team activities.

Following the Setting-the-Table theme, we will now explore how to prepare and plan for the first of the two main strategies that currently dominate the theorizing of negotiation – the integrative strategy.

2.4.7 Integrative strategy and tactics.

Distributive tactics, or value claiming tactics, are used to achieve unilateral concessions from the other party (Pruitt, 1981) and to maximally distribute the resources generated in one's favour (Lax & Sebenius, 1986). Integrative tactics, on the other hand, typically address the

underlying interests of one or both parties and contribute to the development of integrative deals (Pruitt, 1981). These tactics, commonly effective when negotiators value issues differently, provide negotiators with the opportunity to trade concessions on less important issues in order to achieve gains on more important issues.

Success in integrative negotiation is measured by the degree to which both negotiators accomplish their goals (Lewicki et al., 2010) and the focus in this section is, consequently, on how to prepare for the value creating part of the negotiation.

Assessing ones reservation point and target point in addition to estimating the BATNA, reservation point, and targets of the other side, are important distributive tasks within the formulation theme. These tasks, and many others from the Information gathering and Formulation themes, are important to integrative negotiations, but interests and priority remain the primary focus. For this reason integrative negotiation is sometimes called interest-based negotiation (e.g. Menkel-Meadow, 2006). This section is classified into three different categories: (1) Understand the Underlying Interests and Needs, (2) Generate Integrative Solutions, and (3) Legitimacy (Table 5).

Table 5. Integrative Strategy and Tactics - Author Citing Overview

Activity Category:	Support from literature	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
4. Integrative Strategy and Tactics	100%	✓	✓	✓	✓	✓	✓	✓	✓
4.1. Understand the Underlying Interests and Needs	100%	✓	✓	✓	✓	✓	✓	✓	✓
4.1.1. Ask Questions about I & P	100%	✓	✓	✓	✓	✓	✓	✓	✓
4.1.2. Share Information about I & P	75%		✓	✓			✓	✓	✓
4.1.3. Unbundle Issues	75%		✓	✓	✓	✓	✓	✓	
4.2. Generate Integrative Solutions	88%	✓	✓	✓	✓	✓	✓	✓	
4.2.1. Methods for Achieving Integrative Agreements	75%	✓	✓	✓	✓	✓		✓	
4.2.2. Multiple Equivalent Simultaneous Offers	75%	✓	✓	✓	✓	✓		✓	
4.2.3. Using Differences to Create Integrative Agreement	63%		✓	✓	✓	✓		✓	
4.3. Legitimacy	88%		✓	✓	✓	✓	✓	✓	✓

2.4.7.1 Understand the underlying interests and needs.

As part of the formulation activities *issues* and their *underlying interest* were assessed and estimated prior to the face-to-face negotiation. This section is concerned with how to plan the interaction. Three key tactics in relation to the first step in the integrative process permeates the literature and include the practices of, (1) Asking questions about interests and priorities, (2) Sharing information about one's own interests and priorities, and (3) Unbundling the issues.

Asking questions about interests and priorities

Thompson (1991) found that negotiators who ask the other party about their preferences are much more likely to reach integrative agreements than negotiators who do not do so. Similarly, planning to ask questions about the opponent's interests was found to enhance learning about the opponent's priorities and thereby facilitate the discovery of integrative agreements (Tutzauer & Roloff, 1988). This finding corroborates the prescriptive advice by Fisher et al. (1991) to probe, in order to understand, the interests and priorities of the other party as well as the advice given by Fisher and Ertel (1995) of testing your assumptions about the other party's interests and priorities. Asking questions about the interests and priorities of the other party is, furthermore, aligned with refocusing questions suggested by Pruitt and Rubin (1986) (e.g. What issues are higher and lower

priority to the other party?) and the advice given by Bazerman and Neale (1993) to ask questions to find the information needed to create integrative agreements.

Sharing information about one's own interests and priorities

Research has suggested that sharing interests and priorities increases the likelihood of reaching integrative agreements (Thompson, 1991; Tutzauer & Roloff, 1988) and creates a positive relationship between the parties (Bazerman & Neale, 1993). Sharing information, on the other hand, may also lead the other party to use the information distributively (Neale & Bazerman, 1991). Consequently, negotiations should not consider whether to reveal information, or not, but rather what information they would like to share (Thompson, 1990).

Unbundle the issues

Unbundling entails separating a single issue into more issues (Lax & Sebenius, 1986; Pruitt, 1981). Research suggests that better agreements are achieved as the number of issues being negotiated increases (Lewicki et al., 2010; Naquin, 2003) which corroborates the advice given by Lax and Sebenius (1986) “where different interests are bundled into a negotiating issue, a good strategy can be to unbundle and seek creative ways to dovetail them” (p. 94). Through the unbundling process the smaller issues can be reprioritized and can form the basis for logrolling or bridging (bridging will be explained in more detail in the following section) (Carnevale, 2006). Unbundling is also known as disaggregation (Hopmann, 1996), fractionation (Fisher, 1964) or unlinking (Pruitt, 1981; Pruitt & Carnevale, 1993).

2.4.7.2 Generate integrative solutions.

Having a shared understanding of each party's interests and priorities, ideally, opens up the possibility of inventing options which benefit both parties (Fisher et al., 1991). In this process negotiators must be firm with their primary interests and flexible on how these interests can be met and, thereby, make integrative solutions possible (Fisher et al., 1991; Pruitt & Rubin, 1986). Each party has, presumably, developed options during the preparation and planning phase with the knowledge at hand, but how should the parties engage in capitalizing on the new knowledge acquired in the face-to-face interaction? After interests have been identified, the parties need to work together cooperatively to identify the best ways to meet those interests.

Methods for achieving integrative agreements

Carnevale (2006) lists eight different, commonly mentioned methods for achieving integrative agreements which range from simple distributive agreements to more complex integrative agreements. Negotiators should consider which methods to use and how to use them as part of their strategic planning. The methods will briefly be described below with references to other authors describing the same methods, although not always under the same label:

- *Compromise*. A compromise is defined as a middle ground on an obvious dimension connecting the party's initial offers (Pruitt & Carnevale, 1993) and is only included here to serve as a baseline to judge more integrative solutions.
- *Logrolling*. Also known as trade-offs or trading of differences (Lax & Sebenius, 1986), occurs when both parties make concessions on differentially important issues in order to reconcile their interests (Tutzauer & Roloff, 1988; Weingart, Hyder, & Prietula., 1996). When there are differing priorities on issues, one party may concede

on one set of issues to gain advantage on another set (Pruitt, 1981), which gives greater value in the agreement of each side individually and to all collectively, compared to a simple compromise or no agreement at all. Issues involved in distributive negotiation are typically negotiated one by one making the sequence of the issues discussed an important strategic consideration (Malhotra & Bazerman, 2007). Although negotiating issue by issue is considered to be more natural and easy by negotiators (Malhotra & Bazerman, 2007), negotiating multiple issues simultaneously, or making package deals, is recommended in integrative negotiation as this approach facilitates logrolling (Bazerman & Neale, 1993; Malhotra & Bazerman, 2007; Thompson, 2009).

- *Modify the resource pie.* If a conflict is about how a resource is to be shared or divided, one solution may be to figure out a way to modify the resource so that both parties can achieve their objectives (Carnevale, 2006; Follett, 1940). Although modifying may be an attractive alternative, this is not always possible due to the limitations in the environment (Lewicki et al., 2010).
- *Expand the resource pie.* When a conflict is about how a resource is to be shared or divided, a simple but powerful integrative solution is to simply increase the amount of the resource to such an extent that each side achieves exactly what they want (Lewicki et al., 2010; Pruitt & Carnevale, 1993). The resource may be about money, space, time, an object or any other resource. Modifying the resource pie—or expanding it—can succeed when the difference of interest is about an opportunity

cost and will not work if what one side wants will make the other side suffer (Carnevale, 2006).

- *Bridge the interests.* To enable developing new options through bridging, the interests that underlie both parties' overt positions must be analysed and issues should be reconceptualised in order to give the parties what they want in terms of interests (Carnevale & Pruitt, 1992; Fisher et al., 1991; Pruitt & Rubin, 1986). Bridging is perhaps the most creative form of integrative agreement (Carnevale, 2006) as none of the parties are giving in or trading in their interests in the search for a new alternative (Bazerman & Neale, 1993; Pruitt, 1981).
- *Cut the Costs.* If one party is resistant to agreement, because what the other party proposes has additional identifiable costs, then a cost cutting agreement is likely (Carnevale, 2006). The party who makes the major concession receives compensation to address the exact value that formed the basis for the resistance (Bazerman & Neale, 1993). In the words Pruitt according to Carnevale (2006) "Joint cost cutting is reducing the cost to both parties of baking a pie of fixed size" (p. 425).
- *Compensation (Nonspecific).* Nonspecific compensation allows one person to obtain his or her interests by compensating the other accommodating party, thereby generating another alternative (Hames, 2012; Lewicki et al., 2010). The compensation it receives is outside the extant issues, and is thus "nonspecific" to the matter at hand (Carnevale 2006). Nonspecific compensation is similar to logrolling except that the compensation is not related to an issue within the original negotiation

and must be found within the broader context of the relationship between the parties (Neale & Bazerman, 1991).

- *Superordination.* Superordination, the final way to generate alternatives is “reached when the differences in interest that gave rise to the conflict are superseded or replaced by other interests” (Carnevale, 2006). Contrary to compensation, in superordination both parties replace their initial interests in favour of that which is gained by the superordination.

According to Pruitt (2011) of the eight types of integrative agreements above experimental research has so far nearly exclusively focused upon logrolling, thereby limiting the generality of the experimental integrative negotiation findings.

Still, a significant body of research has found that (1) Negotiating multiple issues simultaneously and (2) Using differences to create integrative agreement are effective tactics to achieve integrative solutions, in addition to or integrative the tactics described above.

Multiple Equivalent Simultaneous Offers

Another effective integrative tactic is to make *Multiple Equivalent Simultaneous Offers* (MESOs) (Bazerman & Neale, 1993). This tactic is especially useful with uncooperative parties unwilling to share information necessary to finding integrative solutions (Hames, 2012; Malhotra & Bazerman, 2007; Medvec, Leonardelli, Galinsky, & Claussen-Schulz, 2005), as their choices will reveal their interests and are, hence, possible areas of joint gain (Bazerman & Neale, 1993; Thompson, 2009). Moreover, research suggests that negotiators who make multiple equivalent offers find more integrative solutions, achieve better outcomes, and are generally considered to be more flexible (Bazerman & Neale, 1993; Hyder, Prietula, & Weingart, 2000; Thompson, 2009).

Using differences to create integrative agreement

Negotiators view the world differently and negotiators should see these differences as opportunities to create greater value, as suggested by Lax and Sebenius (1986). Capitalizing on differences often entails *contingency agreements* wherein value is created as a result of the parties' different expectations about the future (Bazerman & Neale, 1991; Lax & Sebenius, 1986; Malhotra & Bazerman, 2007; Thompson, 2009). Contingency agreements are a form of bridging solution which entails building unknown futures into the agreement, which is especially useful if the parties differ in their expectations about the future (Carnevale, 2006) (For examples on contingency agreements, e.g. earnout agreements, see Lax and Sebenius, 2002). Most textbooks include three primary tactics to leverage differences to create value and to be considered by the negotiators: (1) difference in expectations (Bazerman & Neale, 1991; Malhotra & Bazerman, 2007; Thompson, 2009), (2) difference in risk preferences (Bazerman & Neale, 1991; Thompson, 2009), and (3) differences in time preference (Bazerman & Neale, 1991; Lax & Sebenius, 1986; Thompson, 2009).

2.4.7.3 Legitimacy.

Persuasion in integrative negotiations is based on legitimacy (Fisher & Ertel, 1995) achieved by appeals to common ground (Bulow-Moller, 2005). The common ground arguments build on some shared norm of fairness like equity, equality or precedents (e.g. same profit share distribution as in previous contracts, liquidated damage clause as commonly used in the sector in this country).

Legitimacy, through the use of objective criteria independent of the will of the negotiators on both sides, enables the negotiators to choose solutions based on the principle of fairness or merit (Fisher et al., 1991) and is widely found to justify the outcome for both parties (Lax & Sebenius, 1968; Putnam & Holmer, 1992; Walton & McKersie, 1965).

These objective standards or objective criteria, relevant to the issues under review, should be searched for as part of the negotiation planning. According to Fisher et al. (1991), many criteria exist and parties can research areas such as precedent, scientific judgment, professional standards, efficiency, costs, moral standards, equal treatment, tradition or reciprocity as plausible criteria for decision making. The problem is, however, not always so easily resolved because there may be several potentially acceptable standards available from which to choose (Bulow-Moller, 2005).

2.4.7.4 Integrative strategy and tactics: A summary and propositions.

Integrative tactics, or value creating tactics, typically address the underlying interests of one or both parties and contribute to the development of integrative deals (Pruitt, 1981). These tactics, generally effective when negotiators value issues differently, provide negotiators with the opportunity to exchange concessions on less important issues in order to achieve gains on more important issues. This category consists of the three categories that emerged from the literature review: (1) Understand the Underlying Interests and Needs, (2) Generate Integrative Solutions, and (3) Legitimacy.

In total, 100 % of the authors mentioned the Understand the Underlying Interests and Needs context activities, the highest support to any of the categories within this theme. A common feature of negotiation is that there is usually some information that is shared and other information that is unshared (Cohen & Thompson, 2011). There is ample evidence to suggest that sharing information among the parties increases the likelihood of reaching integrative agreements (Drolet & Morris, 2000; Thompson, 1991; Tutzauer & Roloff, 1988), which should encourage negotiators to prepare for all the activities included within this theme. The activities of developing a plan, so to understand the underlying interests and needs, is expected to be conducted by the team, as alignment on what

information should be acquired must be done with the team in order to avoid gaffes at the negotiation table (Brett et al., 2009). The quest to understand the underlying interests and needs is expected to peak in the initial encounters with the other party. Hence, the propositions for this category of activities are:

Proposition A.4.1: Understand the Underlying Interests and Needs NPP activities will commonly be conducted by the negotiators.

Proposition T.4.1: Understand the Underlying Interests and Needs team NPP activities will primarily be conducted in the initial phase of the negotiation.

Proposition L.4.1: Understand the Underlying Interests and Needs NPP activities will usually be conducted as team activities.

The Generate Integrative Solutions category finds support from seven of the eight authors selected. Using the integrative tactics to generate integrative solutions (e.g. logrolling or multiple equivalent simultaneous offers) requires both skills and significant additional resources (Barry & Friedman, 1998). In the context of the company, the negotiators were time poor, like so many other business negotiators (Peterson & Lucas, 2001). As a result, it was not expected to see frequent use of preparation activities to generate integrative solutions. One exception may be when the negotiators are facing an impasse, after a distributive dominated phase, which may trigger a redirection of the group processes (Jett & George, 2003; Okhuysen & Eisenhardt, 2002) resulting in an integrative dominated phase, as suggested by Morley and Stephenson (1977) and Walton and McKersie (1965). A balance between attention given to both self and other is critical for facilitating creative problem-solving in negotiations (Pruitt & Rubin, 1986). This balance is probably best achieved by means of the perspectives of the negotiation team in their entirety, rather than individually (Cohen & Thompson, 2011; Watkins, 2000). Moreover, the complexity of the

negotiation will require complementary skills to generate integrative solutions (Behfar et al., 2008a). Therefore, negotiators would probably conduct Generate Integrative Solutions as a team preparation activity. Hence, the propositions for Generate Integrative Solutions are:

Proposition A.4.2: Generate Integrative Solutions NPP activities will not commonly be conducted by the negotiators.

Proposition T.4.2: Generate Integrative Solutions NPP activities, if conducted, will primarily take place following a distributively dominated phase of the negotiation.

Proposition L.4.2: Generate Integrative Solutions NPP activities will usually be conducted as team activities.

As for the previous category, Legitimacy finds support from seven of the eight authors selected. Persuasion through legitimacy (e.g. referring to fairness) is expected to take place in the face-to-face negotiation (Sycara, 1990) which is an indication that negotiators understand the persuasive power of legitimacy. For the seller negotiators, who are engaging in similar negotiations on a continuous basis, one should expect them to be familiar with the objective criteria that may be used to justify the solutions suggested. This would suggest that negotiators would not be conducting planning activities for a typical negotiation. Hence, the proposition for the legitimacy activities is:

Proposition A.4.3: Legitimacy NPP activities will not commonly be conducted by the negotiators.

Having discussed how negotiators are expected to prepare for integrative tactics, we will turn our attention to understanding how to prepare distributive tactics and, thereby, maximize the resources generated in their own favour.

2.4.8 Distributive strategy and tactics.

The distributive bargaining tactics are applied when the unavoidable distribution of resources, the claiming of the value, takes place (Thompson 2009). The goal in distributive bargaining is to maximize one's share of fixed resources, by settling as close to the other party's reservation point as possible (Walton & McKersie, 1965), thus the estimations about one's own and the other party's position, reservation point and goals are essential (Lewicki et al., 2010). Whether or not one or the other will achieve their goals depends upon the strategies and tactics applied (Walton & McKersie, 1965). The literature on negotiation suggests several task-specific defensive and offensive distributive tactics that can, potentially, influence negotiation outcomes. The textbook recommendations are built up as general recommendations which apply in most kinds of negotiation situations (e.g. Hames, 2012; Thompson, 2009; Lewicki et al., 2010). As discussed previously, complex team-on-team business negotiations are contexts in which negotiations are multi-issue, mixed motive, and iterative. Distributive tactics are, consequently, ideally applied as the last step of the process where the solution is selected and claiming takes place (Lewicki et al., 2010). Understanding distributive tactics is essential when a negotiator wants to maximize the deal value, but negotiators need to recognize that these tactics, especially the ones deemed to be inappropriate by the other party, can also harm the user's reputation and jeopardize the relationship between the parties (Hames, 2012). Using thematic analysis (Braun & Clarke, 2006) the preparation and planning for distributive tactics was divided into four distinct categories: (1) Reservation Point and Goals, (2) Positions and Concessions, (3) Develop Arguments and Counterarguments, and (4) Hard-Bargaining Tactics (Table 6).

Table 6. Distributive Strategy and Tactics - Author Citing Overview

Activity Category:	Support from literature	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
5. Distributive Strategy and Tactics	100%	√	√	√	√	√	√	√	√
5.1. Reservation Points and Goals	75%	√	√	√	√	√		√	
5.1.1. Validate of the Other Party's RPs and Goals	63%		√	√	√	√		√	
5.1.2. Influence the Other Party's Impression of Own RPs and Goals	50%		√	√	√			√	
5.1.3. Influence the Other Party's Perception of his or her Own RPs and Goals	50%		√	√	√			√	
5.2. Positions and Concessions	100%	√	√	√	√	√	√	√	√
5.2.1. Opening Offer and Responses to Other Party's Opening Offer	88%	√	√	√	√	√	√	√	
5.2.2. Concession Plan	75%	√	√	√	√	√		√	
5.2.3. Closing Tactics	38%		√	√	√				
5.3. Develop Arguments and Counterarguments	75%	√	√	√	√	√		√	
5.4. Hard-Bargaining Tactics	63%	√	√	√	√	√			

2.4.8.1 Reservation points and goals.

According to the textbooks on negotiation, three important distributive tactics exist in relation to reservation points and goals (Lewicki et al., 2010; Hames, 2012): (1) Validate the other party's reservation points and goals, (2) Influence the other party's impression of one's own reservation points and goals, and (3) Influence the other party's perception of his or her own reservation point and goals. Each of the three tactics should, accordingly, take part in the negotiator's planning.

Validate the other party's reservation points and goals.

Part of this distributive tactic was covered in the formulation phase (see page 73) where the others party's BATNA, reservation point and goals were assessed with the information available. The reason for covering these activities under formulation is linked to the definition of strategy as the overall plan to achieve the goals of the negotiation. The aforementioned activities are activities necessary in order to set one's own negotiation goals and, consequently, do not belong under the strategy development section, but in a previous phase. What should be planned, as part of the negotiation strategy, is how to validate the assumptions made in the formulation phase and thereby

the goals of the negotiation (e.g. by asking distributive questions as suggested by Malhotra and Bazerman, 2007; Hames, 2012; Lewicki et al., 2010).

Influence the other party's impression of one's own reservation points and goals.

To influence the other party's impression of one's own reservation points and goals negotiator's needed to control the information revealed, especially during the initial phase of the negotiation (Lewicki et al., 2010).

The use of silence is one way to limit the information revealed to the other parties and to learn about his or her interests and priorities (Hames, 2012; Malhotra & Bazerman, 2007). One cannot keep silent throughout the negotiation, obviously, and the negotiation team, consequently, needs to agree on what information can and cannot be disclosed (Young, Bauman, Chen, & Bastardi, 2011). Other ways to conceal information from the other party include the use of a team spokesperson (Lewicki et al., 2010) and overloading the other party with information as a way of screening important information (Lewicki et al., 2010).

Other, more direct, ways to alter the other party's impression of one's own reservation point and goals include the use of selective disclosure (Hames, 2012; Lewicki & Robinson, 1998), where the negotiators only use the facts supporting their own case. Selective disclosure, combined with the use of objective standards (as discussed under Integrative tactics, page 99), is especially influential even though the other party may not agree with the argument presented (Lewicki et al., 2010).

Influence the other party's perception of his or her own reservation point and goals.

Tactics can also focus on the other party's alternatives and goals. One way to focus on the other party's goals is to make the other party perceive his or her alternative to be less attractive by

revealing unfavourable information about the competitor representing the alternative (Lax & Sebenius, 1986) or by highlighting possible unforeseen consequences of the requests made by the other party (Ury, 1993). Exhibiting real or feigned emotions is another way to influence the other party, for example by using the tactic known as the flinch (Hames, 2012; Lum, 2011), where the negotiator pretends to be surprised or shocked when the other party presents a fact or proposal. Concealment of information, which could increase the value of the other party's reservation point, is another way to manipulate the perception of the other party (Lewicki et al., 2010). Lastly, the amount of detail and time devoted to an issue is another way of signalling real or feigned interest and, thereby, influences the other party (Lewicki et al., 2010). All the above tactics may be considered to be unethical by the other party and by some authors, Thompson et al., (2010), for example, cautions against the manipulation of the other party's reservation point.

2.4.8.2 Positions and concessions.

Positions are the primary focus in distributive bargaining which has given rise to the name of the alternative label: *positional bargaining* (Fisher et al., 1991). In distributive negotiations negotiators adopt a position and try to persuade other sides to give in and to accept it (Hames, 2012). Concessions are central to negotiations and negotiators on both sides enter negotiations expecting concessions from the initial positions of either party (Deutsch, 1958; Hames, 2012; Lewicki et al., 2010; Rubin & Brown, 1975). A series of position and concession tactics are recommended when engaging in distributive negotiation in most of the selected textbooks, some of which negotiators may consider planning ahead for, namely: (1) Opening offer, (2) Concession plan, and (3) Closing tactics.

Opening offer (and responses to other party's opening offer)

Some lay experts argue that negotiators should let the other party make the opening offer, as it will enable them to learn more about the other party's expectations before making the first move (Dell & Boswell, 2009; McCormack, 1990). Others, grounded in empirical research, suggest that the party making the first offer will usually secure a better outcome because the first offer acts as a strong anchor in negotiations (Galinsky & Mussweiler, 2001; Gunia, Swaab, Sivanathan, & Galinsky, 2013).

When preparing the opening offer the negotiator should consider how aggressive the offer should be. Exaggerated offers have both advantages and disadvantages (e.g. Pruitt, 1981; Tutzauer, 1991). The advantages include making room for concessions and possibly making the other party revise their reservation point in the favour of the party who made the opening offer (Lewicki et al., 2010). The disadvantages of an exaggerated opening offer are that it may make the other party stop the negotiations or might damage the relationship (Lewicki et al., 2010). Negotiators should, in all cases, prepare an opening offer prior to the negotiation, as this will possibly prevent them from being anchored by the other party's opening offer (Galinsky & Mussweiler, 2001).

The tactic of opening first may also be used by the other party as an attack tactic. According to research by Galinsky and Mussweiler (2001), the best defence tactic is then to quickly re-anchor, using the previously planned opening offer, thereby showing a willingness to negotiate and, at the same time, diminish the anchoring effect of the other party's opening offer.

Concession plan

Also referred to as concession strategy by Peterson & Shepherd (2010). Concessions are the adjustments in the form of counteroffers negotiators make during the course of the negotiation

(Thompson, 2009). Research suggests that negotiators should consider three things as part of the planning when developing concessions: (1) the pattern of concessions (Malhotra & Bazerman, 2007; Yukl, 1974) including the packaging of concessions (e.g. Froman & Cohen, 1970; Neale & Bazerman, 1991), and contingent concessions (Malhotra & Bazerman, 2007), (2) the magnitude of concessions (Hilty & Carnevale, 1993; Malhotra & Bazerman, 2007; Yukl, 1974), and (3) the timing of concessions (Kwon & Weingart, 2004; Mannix & Innam, 1993).

Closing tactics

Finally, to close the deal a concession is typically used to overcome the final objections and to make the other party accept the terms willingly (Hames, 2012). Closing the deal tactics are included in the section under distributive tactics as closing tactics are often distributive in nature and follow the claiming phase of the negotiation (Hames, 2012). The use of multiple (final) equivalent offers (e.g. Medvec et al., 2005), however, is an exception being an integrative tactic, for the reasons explained. Prior to the closing off of the negotiation, negotiators should not only consider which closing tactics to use but also how to react if these tactics are applied by the other party (Robinson, 1995; Thompson, 2009). Below are the four most common distributive closing tactics:

- *Compromise*. Compromise implies splitting the difference between each of the most recent offers from both sides (Hames, 2012; Lewicki et al., 2010; Thompson, 2009).
- *Sweetener*. Offering a final concession to obtain the close is known as a sweetener (Hames, 2012; Lewicki et al., 2010).

- *Assume the close*. This tactic assumes that the other party is ready to agree and proceeds with detailed discussions as though the agreement exists (Cellich & Jain, 2012; Hames, 2012; Lewicki et al., 2010).
- *Exploding offers*. The tactic of exploding offers uses artificially imposed time limits to close the deal and risks harming the relationship (Hames, 2012; Lewicki et al., 2010; Robinson, 1995).

2.4.8.3 Develop arguments and counterarguments.

Arguments and counterarguments planning play a central role in distributive negotiation (Mannix & Innam, 1993) and finds support from six of the eight authors. The primary strategy available to participants in distributive negotiation is persuasion, and underlying persuasion is the careful preparation and planning of arguments (Bacharach & Lawler, 1981; Neale & Northcraft, 1991; Raiffa, 1982).

Convincing the other party that the offer is a valuable one and is reasonable is a frequent occurrence during negotiations (Lewicki et al., 2010) and most textbooks suggest supporting concessions and offers with facts (Hames, 2012; Lewicki et al., 2010; Thompson, 2009) and appeal to norms of fairness (Thompson, 2009; Hames, 2012).

Negotiators may, furthermore, want to influence the other party's beliefs to recognize the weakness of his or her own position (Lewicki et al., 2010) and can, thereby, achieve a concession in their favour (also referred to as *posturing* strategy) (Brett, 2007).

The best defensive system against persuasion, including hard-bargaining tactics (covered below) from the other party is, however, the awareness of persuasive tactics and thorough preparation and planning as covered under the formulation theme, that is, knowing one's own

interests, priorities, and reservation point (Hames, 2012; Thompson, 2009). Furthermore, research reveals that one effective way negotiators can protect themselves from being influenced by the other party is to develop arguments in favour of their original position and against it, and then counterarguments to refute both (Lewicki et al., 2010; Pfau, Szabo, Anderson, Morrill, Zubric, & H-Wan, 2001).

In addition to the development of arguments and counterarguments, negotiators should also devote time to consider how the message is presented and who should be the source and the receiver (Lewicki et al., 2010).

2.4.8.4 Hard-bargaining tactics.

Hard-bargaining tactics, also referred to as dirty tricks (Kolb, 2004) or hardball tactics (Lewicki et al., 2010), are used by distributive negotiators to pressure the other party into taking actions they otherwise would not take (Hames, 2012; Lewicki et al., 2010). When deciding on whether to use these tactics, negotiators evaluate tactics on a continuum of “ethically appropriate” to “ethically inappropriate” (Robison, Lewicki, & Donahue, 2000) and many consider hardball tactics to be inappropriate (Lewicki et al., 2010). One should, however, not make the mistake of thinking that the other party will respond to the same ethical norms as oneself. It is probably for this reason that many popular books on negotiation (e.g. Lum, 2010; Mnookin, Peppet, & Tulumello, 2000), and negotiation textbooks alike (e.g. Hames, 2012; Lewicki et al., 2010), devote attention to understanding the tactics and how to deal with those tactics, although the same authors do not recommend the use of these tactics (e.g. Lewicki et al., 2010; Thompson, 2009). Consequently, negotiators should contemplate (1) How to understand and detect, (2) If and how to apply, and (3) How to counter the hard ball tactics.

The different hardball tactics that negotiators should recognize and understand, as suggested in the literature, include among others: *good cop-bad cop* (Hilty & Carnevale, 1993), *the nibble* (Cohen, 2006), *snow job* (Karrass, 1970; Lewicki et al., 2010), *bogey* (O'Connor & Carnevale, 1997) and *commitment* (Lax & Sebenius, 1986; Moonkin et al., 2000). The use of intimidation and other aggressive behaviours (e.g. threats and *take-it-or-leave-it offers*, Moonkin et al., 2000; Lewicki et al., 2010) are other hardball tactics that negotiators use to appear more powerful and, thereby, impose their own positions or attack the other party's position (Hames, 2012; Lewicki et al., 2010). Finally, hard-bargaining tactics include the misrepresentation and the distortion of information, selective presentation, and bluffing with the purpose of gathering information about the other party or to manipulate the other party's perception of the deal (Hames, 2012; Lewicki et al., 2010; Moonkin et al., 2000; O'Connor & Carnevale, 1997).

According to Lewicki et al. (2010), who primarily build upon the work of Fisher et al. (1991) and Ury (1993), negotiators have at least three options when dealing with hardball tactics: (1) ignore the tactic and pretend nothing has happened, (2) naming the tactic openly to the other party or (3) to respond in kind (reactive countermove). A fourth option, to respond to a hardball tactic, is to discuss the negotiation process itself as discussed under the process category (see page 89) (Kolb, 2004; Lewicki et al., 2010). None of the responses will work in every situation and it is important for the negotiators to take the broader context and the goals of the negotiation into consideration before choosing one response or the other (Lewicki et al., 2010). As an example, the most commonly used option of responding in kind will possibly reinforce the previous move (Kolb, 2004) and could be counterproductive, but it may also be the best answer in some situations (e.g. to exaggerated positions taken by the other party) (Lewicki et al., 2010).

2.4.7.4 Distributive strategy and tactics: A summary and propositions.

Distributive tactics are applied to achieve unilateral concessions from the other party (Pruitt, 1981) and to maximally distribute the resources generated in one's favour (Lax & Sebenius, 1986). The distributive tactics are used when the unavoidable distribution of resources, the claiming of the value, takes place (Thompson 2009). This category consists of four distinct subcategories: (1) Reservation Points and Goals, (2) Positions and Concessions, (3) Develop Arguments and Counterarguments, and (4) Hard-bargaining Tactics.

The Reservation Points and Goals category enjoys support from six of the eight authors selected. Putnam (1990) reports that in the early stages of negotiation, bargaining groups try to estimate the other side's priorities and probable reactions to their own proposals. Moreover, Roloff and Jordan (1991) suggest that roughly half of a sample of negotiators explicitly include some aspect of their opponents' plans in their own planning. In order to validate the other party's goals and RP, and to influence their perception of both parties RP and goals, it is expected of the seller negotiators that they prepare distributive questions in advance (Malhotra & Bazerman, 2007; Hames, 2012; Lewicki et al., 2010). The distributive NPP activities, including RP and goals, are predicted to be primarily conducted in the initial phase of the negotiation as integrative strategies are expected to precede distributive strategies (Morley & Stephenson, 1977; Olekalns et al., 2003). Furthermore, this NPP activity is expected to be conducted using the perspectives, knowledge and expertise of the team members in concert (Behfar et al., 2008a). Similarly, to influence the other party's impression of one's own reservation points and goals, the negotiation team needs to agree on what information can and cannot be disclosed (Young, Bauman, Chen, & Bastardi, 2011). Hence, the propositions for the Reservation point and goals category are:

Proposition A.5.1: Reservation Points and Goals NPP activities will commonly be conducted by the negotiators.

Proposition T.5.1: Reservation Points and Goals NPP team activities will primarily be conducted in the initial phase of the process.

Proposition L.5.1: Reservation Points and Goals NPP activities will usually be conducted as team activities.

All authors mentioned the Positions and Concessions activities, the highest support of any of the categories within this theme and, in the context of the company, it is expected that the seller will make the opening offer and that it will be followed by concessions on both sides prior to arriving at an agreement (see Nature of the interaction on page 63). Given the expectation that both parties make concessions from the initial positions (Deutsch, 1958; Lewicki et al., 2010; Rubin & Brown, 1975), one would expect concession planning to be commonly conducted and coordinated within the team to maintain alignment and to benefit from the team member's individual expertise. As a result, Positions and Concessions preparation and planning activities are expected to be frequent. Position and Concession activities, like Goal Setting activities (see page 80), are expected to take place primarily in the initial phase of the negotiation, which is in line with the expected use of distributive strategies in the initial part of the negotiation (Morley & Stephenson, 1977; Olekalns et al., 2003). Consequently, I predict:

Proposition A.5.2: Positions and Concessions NPP activities will commonly be conducted by the negotiators.

Proposition T.5.2: Positions and Concessions NPP team activities will primarily be conducted in the initial phase of the process.

Proposition L.5.2: Positions and Concessions NPP activities will usually be conducted as team activities.

The Develop Arguments and Counterarguments category finds support from six of the eight authors selected. Persuasion, and the underlying preparation and planning of arguments and counterarguments, are considered to be the primary distributive negotiation strategy (Neale & Northcraft, 1991; Raiffa, 1982). It is reasonable to assume that planning how to justify the positions chosen, as well as how to attack the positions taken by the other side, will occur prior to the negotiation, particularly in relation to the initial phase of the negotiation for which there is an expectation that the interactions will be distributive (Morley & Stephenson, 1977; Olekalns et al., 2003). This preparation of arguments would need to draw upon the complementary skills of the different team members. On the other hand, as discussed in the related integrative Legitimacy category (See page 107), the seller negotiators may already believe they know all the arguments and counterarguments and, consequently, see no need to invest time in preparing prior to the negotiation. Hence, the proposition for the Develop arguments and Counterarguments category is:

Proposition A.5.3: Develop Arguments and Counterarguments NPP activities will not commonly be conducted by the negotiators.

Proposition T.5.3: Develop Arguments and Counterarguments NPP activities, if conducted, will primarily be conducted in the initial phase of the negotiation.

Proposition L.5.3: Develop Arguments and Counterarguments NPP activities, if conducted, will usually be conducted as team activities.

The category of Hard-Bargaining Tactics obtains support from five of the authors selected. The lower number of supporting authors in the theme preparation for hard-bargaining notwithstanding, offensive and defensive tactics are expected to commonly occur as a result of the competitive market place at the time of the study, at a time in which the industry was still struggling with significant surplus capacity (Bloomberg New Energy Finance, 2014). This competitive

situation will come as no surprise to the seller negotiators and the preparation activities are, consequently, expected to occur in the beginning of the negotiation as all of the distributive activities primarily. Many hard-bargaining tactics are conducted as a team effort (e.g. good cop - bad cop), which suggests that preparation activities are conducted as team activities. More formally, the proposition for this category may be stated as follows:

Proposition A.5.4: Hard-Bargaining Tactics NPP activities will commonly be conducted by the negotiators.

Proposition T.5.4: Hard-Bargaining Tactics NPP team activities will primarily be conducted in the initial phase of the negotiation.

Proposition L.5.4: Hard-Bargaining Tactics NPP activities will usually be conducted as team activities.

Having concluded the literature review on Distributive Strategy and Tactics the following, and final section of this part of the review, will focus upon preparation activities as suggested by Peterson and Lucas (2001).

2.4.9 Preparation.

In the developed by Peterson and Lucas (2001), preparation: “Involves rehearsing verbal communication, arranging/creating support materials, and attending to logistical concerns” (p. 39). In a more recent article by Peterson and Shepherd (2010) the following three preparation activities were added, “(1) Prepare questions from client (questions that are in need of answers), (2) prepare for anticipated questions from client (answers to questions or objections), and (3) prepare a mutual business interest” (page 71). The literature reviewed found all three activities to be relevant, but each one of them has already been assigned to one or several activity categories. As an example the requirement to “prepare for anticipated questions from client” has been covered under Understand

the underlying interests and needs, Reservation points and goals, and Develop arguments and counterarguments. These activities will, hence, not be covered under this theme. The preparation theme is the theme that receives the least amount of attention, both in the text books and in academic papers, and has three categories: (1) support material, (2) logistical concerns, and (3) role-play (Table 7). With the purpose of obtaining a sequential order within the theme, the order of the categories has been altered, compared to the Peterson and Lucas (2001) framework, as support material needs to be prepared prior to the initial rehearsal and role-play.

Table 7. Preparation Activities - Author Citing Overview

Activity Category:	Support from literature	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
Preparation	100%	✓	✓	✓	✓	✓	✓	✓	✓
Support Material	38%	✓		✓			✓		
Logistical Concerns	88%	✓		✓	✓			✓	
Where to negotiate	75%			✓	✓	✓	✓	✓	✓
Physical arrangements	50%	✓			✓			✓	✓
Timing of the negotiation	50%			✓			✓	✓	✓
Role-Play and Rehearsal	63%	✓	✓	✓		✓	✓		

2.4.9.1 Support material.

Of all of the selected sources only Salacuse (2003), Lewicki et al. (2010), and the articles by Peterson and Lucas (2001) and Peterson and Shepherd (2010) make reference to the need for support material as part of the negotiation preparation. The latter articles refer to the preparation of charts, graphs, and the preparation of aids without specifying further what form these aids would take. Salacuse (2003), in a similar manner, although in greater depth, mentions documents, presentations, reports, publications, and books as being support material negotiators need to consider to prepare and possibly share with the other party. None of these recommendations are based on research but are, more likely, based on common sense. The reason for the lack of attention

in the negotiation textbooks to preparation is possibly because the authors consider support material to be a natural product of the NPP and, consequently, as something which goes without saying. In other words, support material is not an activity, but rather the product of various activities.

2.4.9.2 Logistical concerns.

Most authors include logistical concerns, in place of support material, as part of the preparation. Peterson and Shepherd (2010) mention seating arrangements, food, drink, and room availability as examples of logistical concerns. Lewicki et al., (2010) and Salacuse (2003) are the authors who dedicate the most attention to logistical concerns and both sources group the logistical concerns as a subgroup, under protocol and environment respectively, covered under Information Gathering (see page 59). Similarly, Raiffa (1982) uses the term *logistics of the situation* to cover both allocative concerns (e.g. where to negotiate and when) and more procedural concerns (e.g. who should negotiate, whether third party representation is needed, and in which language the negotiation will be conducted). Clearly authors use different terms to define logistical concerns but there is still consistency around the following three subgroups: (1) Where to negotiate, (2) Physical arrangements, and (3) Timing of the negotiation.

Where to negotiate is an important consideration that negotiators should make as part of the NPP as the different choices have both benefits and downsides (Hames, 2012; Lempereur & Colson, 2010). The conventional wisdom to strive for negotiating on the home turf may not always be the right choice as negotiating on the other party's turf conveys a strong desire to make the deal and gives access to information about the other party. Negotiators typically choose a neutral site even though this may not be the ideal solution as it excludes the benefits of negotiating at one or the other's premises (Hames, 2012; Salacuse & Rubin, 1990).

Physical arrangements are equally important to negotiators as siting on opposite sides of the table predicts competition contrary to sitting side-by-side (Rubin & Brown, 1975). Other arrangements, such as breakout rooms, food, and drinks should also be considered by negotiators (Lempereur & Colson, 2010; Peterson & Shepherd, 2010).

Timing of the negotiation is mentioned by several authors who include preparation considerations such as: duration of the meeting (Lewicki et al., 2010; Salacuse, 2003), scheduled departure time (Salacuse, 2003), when negotiators can call for breaks and internal caucus coffee (Lewicki et al., 2010).

2.4.9.3 Role-play and Rehearsal.

Books have been written on role-play (e.g. Van Ments, 1999) and research outside the field of negotiation suggests rehearsing encounters which are confrontational enhances control over emotions and overall performance during encounters which followed (Stutman & Newell, 1990). Moreover, simulated role-playing has already been suggested to be valuable in planning the negotiation strategy in Raiffa's seminal book *The Art and Science of Negotiation* (1982). One way that role-playing has been found to generate a better understanding of the other party's situation, thereby improving communication, is through role reversal (e.g. Johnson, 1971; Shell, 2006), where the negotiator puts him or herself in the shoes of the other party, in a manner of speaking. In addition, Salacuse (2003) encourages negotiation teams to engage in role-play to "anticipate the situations they expect to meet" and Peterson and Lucas (2001) suggest that rehearsing the introduction of demands and concessions are an important preparation activity. In contrast, Fisher and Ertel (1995) caution against rehearsing lines, as this effort may take focus away from preparing their own perspective.

Scholars recognize the importance of opening statements, in most legal communication, and research has demonstrated that it is important because it creates a schema or “framework” through which jurors filter the subsequent presentation of evidence (Moore, 1989). Although the opening statement is not formalized in negotiation, the researchers advise negotiators to plan and rehearse an opening statement in any event (Lewicki et al., 2010; Peterson & Shepherd, 2010).

2.4.9.4 Preparation: A summary.

Preparation receives little attention in the selected literature and in the negotiation literature in general. The theme consists of three categories: Support Material, Logistical Concerns, and Role-Play and Rehearsal. Although role-play and rehearsal prior to negotiation encounters has been suggested to make the negotiation meeting more efficient (Peterson & Lucas, 2001) the literature selected ignores role-play, almost entirely, as a possible preparation activity. Similarly, and to a greater extent, support material is almost completely overlooked in the literature. In this case the possible reason is clearer as one could expect the support material to be developed as a product of the previous themes. The second category, logistical concerns, receives more scholarly attention and is to be found in seven of the eight primary sources (Table 7). Logistical concerns are closely linked with the procedural negotiation activities covered under the heading of the process. The fact that three sources (Raiffa, 1982; Lewicki et al., 2010; Salacuse, 2003) propose logistical concerns as being part of the procedural activities, suggests that they ought to be moved from Preparation to Strategy development in the Peterson and Lucas framework.

Based on the above reasoning, there is little justification to maintain preparation as a theme in its own right. Consequently, as Support Material is not an activity but rather a product of other activities, this category will be excluded from the model. Furthermore, Logistical Concerns will, as

suggested by Raiffa (1982), Lewicki and colleagues (2010), and Salacuse (2003), be moved to the category of How to Negotiate (M3.1.1), as a subcategory, including Communication medium described on page 91. Similarly, Role-play and Rehearsal, which includes preparing an opening statement, can be considered to be part of the processual preparation and will also move to How to Negotiate. The How to Negotiate category will now have 4 subcategories, as shown in Table 8. The propositions brought forward under the category remain unchanged.

Table 8. How to Negotiate - Author Citing Overview

Activity Category:	Support from literature	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
3. Setting-the-Table	100%	√	√	√	√	√	√	√	√
3.1. How to Negotiate	100%	√	√	√	√	√	√	√	√
3.1.1. Logistical Concerns	100%	√	√	√	√	√	√	√	√
3.1.2. Participants	38%		√	√		√			
3.1.3. Procedural and Ground Rules	75%		√	√	√	√	√	√	
3.1.4. Role-Play and Rehearsal	63%	√	√	√		√	√		

2.5 Literature review: A summary and propositions.

A total of 58 distinct activities categories have been identified in the literature. These are categorised using five broad themes: Information Gathering, Formulation, Setting-the-table, Integrative Strategy and Tactics, and Distributive Strategy and Tactics. These five themes can then be further divided into 18 categories (Table 9), for example, Environmental Context (M1.1) and Positions and Concessions (M5.2). More detailed activities (subcategories) can then be seen in Appendix A (page 284). This comprehensive model of preparation activities provides a preliminary indication of what might constitute good preparation practice. The need for a comprehensive approach to preparation is clear: negotiators must research the context as well as researching the other party; formulate their approach on the subject matter for negotiation; develop a strategy with

due consideration being given to distributive and integrative approaches and, finally, develop and plan for how to run the process.

The review confirmed that the empirically grounded literature on preparation and planning for business negotiations is limited. Furthermore, the large, extant body of research is concerned with the effect of the different face-to-face strategies on the negotiated outcomes is primarily laboratory based with students that either possess some or no working experience and for whom the results of the negotiation has little or no consequences beyond the classroom. Consequently, the elaborated model on negotiation preparation and planning deriving from this literature review offers an opportunity to compare which activities are recommended according to the academic literature and the activities that takes places in business negotiations and, thereby, complement and advance the understanding of how negotiation preparation and planning is being conducted, which is what is sought by researchers (e.g. Weiss 2006b; Peterson & Shepard, 2010).

Table 9. Negotiation Preparation and Planning Activities – Recommendations from the Negotiation Literature.

Activity Category:	Support from literature	Authors							
		Peterson et al.	Thompson	Lewicki et al.	Hames	Raiffa	Salacuse	Watkins	Weiss
1. Information Gathering	100%	√	√	√	√	√	√	√	√
1.1. Environmental Context	50%	√			√		√		√
1.2. Nature of Interaction	100%	√	√	√	√	√	√	√	√
1.3. Negotiation Context	100%	√	√	√	√	√	√	√	√
1.4. The Other Party	100%	√	√	√	√	√	√	√	√
2. Formulation	100%	√	√	√	√	√	√	√	√
2.1. Issues, Interests, Positions and Priorities	100%	√	√	√	√	√	√	√	√
2.2. Options	100%	√	√	√	√	√	√	√	√
2.3. Reservation Points	100%	√	√	√	√	√	√	√	√
2.4. Goals	100%	√	√	√	√	√	√	√	√
3. Setting-the-Table	100%	√	√	√	√	√	√	√	√
3.1. How to Negotiate	100%	√	√	√	√	√	√	√	√
3.2. How to Organize the Team	100%	√	√	√	√	√	√	√	√
3.3. What to Negotiate - Agenda	100%	√	√	√	√	√	√	√	√
4. Integrative Strategy and Tactics	100%	√	√	√	√	√	√	√	√
4.1. Understand the Underlying Interests and Needs	100%	√	√	√	√	√	√	√	√
4.2. Generate Integrative Solutions	88%	√	√	√	√	√	√	√	
4.3. Legitimacy	88%		√	√	√	√	√	√	√
5. Distributive Strategy and Tactics	100%	√	√	√	√	√	√	√	√
5.1. Reservation Points and Goals	75%	√	√	√	√	√		√	
5.2. Positions and Concessions	100%	√	√	√	√	√	√		√
5.3. Develop Arguments and Counterarguments	75%	√	√	√	√	√		√	

Source: Hames (2012); Lewicki et al. (2010); Peterson and Lucas (2001); Peterson and Shepherd (2010); Raiffa (1982); Salacuse (2003); Thompson (2009); Watkins (1996, 1999, 2000, 2002, and 2006); Weiss (1993, 2004, 2006a, and 2006b).

The literature review of the recommended activities of good preparation yielded a series of propositions in relation to the primary aim of this research: to understand which activities are undertaken by negotiators to conduct complex business negotiations. The review of the literature on team negotiation, and the context of the company with teams negotiating on both sides of the table made it clear that not only is it of interest to know which activities are conducted, but also by whom they are conducted, whether with or without the negotiation team. The review of the process of the negotiation, in the context of the company with several negotiation rounds and their accompanying preparation and planning, makes it clear that the temporal dimension could yield interesting results. Consequently, within the overall aim of this study, that is, to understand which preparation

activities are undertaken in order to conduct a complex business negotiation, the research questions and their underlying propositions that emerged from the literature review are as follows:

Research Question 1: Which preparation activities are undertaken to conduct a complex business negotiation?

Which category activities are commonly conducted?
(Activity propositions per category as summarized in Table 10, below).

Negotiators engage in fewer NPP formulation activities from the other side's perspective than their own. (Proposition D.1).

Negotiators engage in fewer integrative than distributive NPP activities (Proposition D.2)

Research Question 2: Who undertakes the preparation and planning activities?
(Level propositions per category as summarized in Table 10, below).

Research Question 3: When do preparation and planning activities occur in teams?

When in the process will the activities primarily occur in teams?
(Temporal propositions per category as summarized in Table 10, below)

Preparation and planning team activities will be conducted with a higher frequency in the initial phase of the negotiation than compared to the later ones (Proposition F.1).

Distributive team preparation and planning activities will dominate in the Initial phase of the negotiation (Proposition F.2.a).

Integrative team preparation and planning activities will dominate in the later phases (Proposition F.2.b).

Activity, level, and temporal propositions were developed for all 18 categories as summarized in in Table 10 (see Appendix B, page 286, for an overview of the propositions in full length).

Table 10. Overview of Activity, Level and Temporal Propositions

Activity Category:	Support from literature	Which category activities are commonly conducted Activity Propositions	Who undertakes the preparation and planning activities Level Propositions	When in the process will the activities primarily occur in teams Temporal propositions
1. Information Gathering	100%			
1.1. Environmental Context	50%	No	N/A	N/A
1.2. Nature of Interaction	100%	No	N/A	N/A
1.3. Negotiation Context	100%	Yes	Without team	Initially
1.4. The Other Party	100%	Yes	Without team	Ongoing
2. Formulation	100%			
2.1. Issues, Interests, Positions and Priorities	100%	Yes	Without team	Initially
2.2. Options	100%	Yes	Team	Ongoing
2.3. Reservation Points	100%	Yes	Without team	Initially
2.4. Goals	100%	Yes	Team	Initially
3. Setting-the-Table	100%			
3.1. How to Negotiate	100%	Yes	Team	After Impasse
3.2. How to Organize the Team	100%	Yes	Team	Initially
3.3. What to Negotiate - Agenda	100%	Yes	Team	After Impasse
4. Integrative Strategy and Tactics	100%			
4.1. Understand the Underlying Interests and Needs	100%	Yes	Team	Initially
4.2. Generate Integrative Solutions	88%	No	Team	After distrib. phase
4.3. Legitimacy	88%	No	N/A	N/A
5. Distributive Strategy and Tactics	100%			
5.1. Reservation Points and Goals	75%	Yes	Team	Initially
5.2. Positions and Concessions	100%	Yes	Team	Initially
5.3. Develop Arguments and Counterarguments	75%	No	Team	Initially
5.4. Hard-Bargaining Tactics	63%	Yes	Team	Initially

Note: Categories with no temporal or level proposition are termed N/A.

Having outlined the research questions and propositions, as well as the literature review necessary to build the model of recommended activities of negotiation preparation and planning at length, we will now turn to the method chapter which will describe the steps required in addressing the research questions and propositions presented here.

3. Research Methodology

Negotiation research, much of which uses student populations in experimental designs (Buelens et al., 2008), will often seek to have relevance for managerial processes. This dissertation complements experimental studies as it makes its contributions on the basis of data derived from negotiators engaged in business negotiations and, thereby, contributes to the limited portion of negotiation research conducted outside university laboratories (Buelens et al., 2008; Pruitt, 2011). The reliance of this research on practitioner data shapes the methodology that I have adopted.

This chapter begins by presenting my philosophical standpoint, followed by the presentation of my research design, and a discussion of the consequences of doing empirical research in a closed setting. This is followed by an explanation of the two methods of inquiry chosen: open-ended survey and case study, including the data collection and analysis applied.

3.1 Philosophical standpoint

The research design has been highly influenced, whether consciously or unconsciously, by the philosophical standpoint on which any given study is based. The appropriateness of a particular philosophical standpoint is defined by the specific research objectives, as well as by the researcher's own philosophical assumptions about the nature of the world (ontological foundation), as well as by the possible ways of acquiring knowledge about it (epistemological foundation) (Orlikowski & Baroudi, 1991).

According to Orlikowski and Baroudi (1991), "Social processes can be usefully studied with an interpretive perspective, which is explicitly designed to capture complex, dynamic, social phenomena that are both context and time dependent" (p. 18). Interpretive methods of research start

from the position that our knowledge of reality, including the domain of human action, is a social construction by human actors and this also extends as far as the researcher examining the phenomenon. Thus, there is no objective reality which can be discovered by researchers and replicated by others (Walsham, 1993). Access to negotiators and their negotiation preparation activities within a large global industrial company provided an opportunity to investigate the complex social processes which are characteristic of negotiation (Schneider & Honeyman, 2006). Furthermore, the role of the researcher in interpretive studies is active and engaging (Walsham, 1995), which was in keeping with the expectations of the company.

Reflecting on my own predispositions, I do believe that there is a physical world out there; however, this physical world does not “have an independent, objective and ‘true’ expression” (Kjærgaard 2004, p. 41). Rather, my position is that our knowledge of reality is a social construction by human actors (Walsham, 2006). Consequently, in accordance with my own ontological and epistemological predispositions and appropriate to the research topic and goal, this study uses interpretivism as the philosophical standpoint from which to construct knowledge.

3.2 Research design

In most cases the research into what negotiators do does not extend into an exploration of how they actually prepare to do it (e.g. Peterson & Shepherd, 2010; Roloff & Jordan, 1991). The lack of literature describing which preparation activities are undertaken in conducting a complex business negotiation calls for a descriptive and explorative approach. Consequently, and to fulfil these research aspirations, I have employed a strategy which has substantiated the exploratory and descriptive nature of this interpretive research.

This dissertation relies primarily on qualitative data collected through various methods of inquiry within the company combined with a thorough literature review, which is consistent with the interpretive research approach (Creswell, Clark, Gutmann, & Hanson, 2003).

The research methodology described in this chapter was designed to answer the research questions formulated below, as well as the propositions developed during the literature review, that is:

Research Question 1: Which preparation activities are undertaken to conduct a complex business negotiation?

Research Question 2: Who undertakes the preparation and planning activities?

Research Question 3: When do preparation and planning activities occur in teams?

The literature review contributes to the process of understanding the research phenomenon through the synthesis of previously documented studies (Mathiassen, 2002) as well as to the development and illustration of the most appropriate concepts (Webster & Watson, 2002). In this case, the literature review served to identify gaps in the literature which allowed for the advancement of the propositions summarized on page 128, and to identify and categorize more than 50 activities, which were recommended as part of the preparation process. The resulting NPP activity model served as a data collection device throughout the empirical part of the study.

The primary means of developing an understanding of a problem, however, is through engaging with the interpretation of practice (Mathiassen, 2002). This requires either that data be collected about a phenomenon in its real life settings, and later interpreted using concepts that usually emerge from the literature, or that might emerge from the data itself. Open-ended survey responses are extremely useful in helping to explain or to gain insight into organizational issues

(Jackson & Trochim, 2002), and therefore are often elicited in organizational research to gather new information about an experience or topic as well as to explore different dimensions of respondents' experiences (Sproull, 2002). Similarly, the distinct advantage of deploying a case study for this project stems from the fact that we are concerned with a study that seeks to answer a question about a contemporary set of events over which the investigator has little control (Farquhar, 2012; Meredith, 1998; Yin, 2009). Consequently, in line with the explorative nature of this study, the design chosen was a qualitative design that allowed me to collect a rich and strong array of evidence by means of an open-ended survey and a case study of business negotiators from a single company.

All research questions relate to the identification of which activities are undertaken in preparation for a complex business negotiation. A review of the literature on negotiation yielded a list of recommended preparation and planning activities. Rather than rely simply using this list to undertake deductive coding of the practitioners' open-ended survey responses, these responses were first coded inductively. Then responses were analysed again using the list derived from the literature. This two-step approach allowed for the generation of activities that were not identified during the literature review. The two activity lists were consequently compared in order to generate a comprehensive activity model to employ for the deductive coding of the data from the case study and thereby determine which activities were adopted by the practitioners in the different phases of the negotiation process.

In summary, the methodological design allowed me to answer the research questions posed adequately (Yin, 2009) and the methodological triangulation proposed enhanced the reliability of

the study as a consequence of the cross inquiry between the data sources (O' Donoghue, 2003; Yin, 2009).

The remainder of this chapter examines the overall methodology in terms of doing real-world research in a closed setting, the case-study, the open-ended survey, and the quality assessment of the research conducted.

3.3 Doing empirical research in a closed setting

Customer negotiations are a sensitive subject due to the financial importance of the outcome, both to the negotiators and the company (informal interview with sales manager, 2011). In the case company, the monetary sizes of the transactions is typically double or even triple digit million Euro ventures and the sales manager in charge will most likely only close a few deals per year. Consequently, the negotiations are conducted within a closed setting (Bell, 1969) which takes place in a high tension environment for the negotiators, making access to the negotiations a significant challenge to the researcher. Insider research refers to how researchers might conduct research within organizations of which they are also members (Brannick & Coghlan, 2007; Kanuha, 2000). This frequently allows for a more rapid and complete acceptance by the participants and, therefore, participants are normally more open with the researcher so that more in-depth data might be gathered (Dwyer & Buckle, 2009).

Initially, I was attached to the company headquarters, reporting to the head of sales, but I then asked to be transferred to a sales unit. The HQ contact was helpful in terms of visibility and gatekeepership (Bryman & Bell, 2007), but created another challenge in terms of loyalty. Few negotiating teams would be interested in having what could be viewed as a sort of spy from management who accompanied them during their negotiations (Bryman & Bell, 2007). This

challenge was dealt with through a clear and public agreement with management which emphasised the contribution to science due to the fact that observations would remain confidential between me and the participants. Still, it was not enough for the head of sales to give an instruction to let me participate; negotiators needed to see the benefits of having a researcher present, first-hand (informal interview, 2011). I chose to take a humble approach helping out wherever possible and by developing a customized negotiation skill training, which was well-tailored to the negotiators' needs. The purpose of these actions was to create trust and to earn respect which was expected to lead to access to the negotiations being granted. After a few months in the sales business unit I was invited to several negotiations both as an observer and as an advisor. Another key reason for my having been accepted, according to the company's negotiators, was my own experience as a negotiator which made me "like one of them" (retrospective field notes), which is in line with suggestions made by Dwyer and Buckle (2009).

Being an insider has drawbacks as well as advantages (Dwyer & Buckle, 2009; Kanuha, 2000). One advantage of being an insider is the on-going access to a closed settings which resulted in the data having greater depth. However the primary drawback was the possible loss of the sense of being a researcher and becoming wrapped-up in the world of the negotiators, also referred to as *going native* (Bryman & Bell, 2007; Glesne, 1999; Gold, 1958; Lincoln & Guba, 1981). The longer the researcher stays in the field, the greater the likelihood that their professional judgement will become influenced by the field in which they study (Lincoln & Guba, 19854). The fact that I was new to the organization, and had spent half of my time at the university, helped me not to become "socialized to the views of the people in the field" and, accordingly, not to "lose the benefit of a fresh outlook on the situation" (Walsham 2006, p. 322).

The involvement of the researcher in the process is not to be avoided in interpretive studies, which makes it different from the approach taken by other paradigms (Walsham, 2006); that said, an agreement was still made with the negotiation teams that if they would like me to offer my advice I would give it only at the end of the negotiation preparation meetings and, thereby, would interfere with the field as little as possible. Still, this approach may cause the negotiators participating in the longitudinal case study to develop additional preparation and planning skills over time as a result of my participation. I also acknowledge that more time to conduct negotiation preparation was probably allocated by the participants solely as a result of my participation (supported by participant in a comment, January 16th, 2012; Bryman & Bell, 2007).

The positive and negative elements of becoming an insider must obviously be evaluated. In the case of this dissertation, the choice was relatively simple as not being an insider would probably have made the data collection problematic, if not impossible (Dwyer & Buckle, 2009). Consequently, the role I adopted was the role described as participant-as-observer by Gold (1958), which is labelled as active participation by Spradley (1980), in which the researcher is involved with the members' central activities, but still does not fully commit to their values and goals (Adler & Adler, 1994).

3.4 Open-ended Survey Design

The purpose of this interpretive study was to take advantage of the access gained to company negotiators, through my insider status, and to make the negotiators speak aloud about their negotiation preparation experiences. Interviewing is probably the most widely used and recognized method of data collection in qualitative research (Mason, 2002). This method is especially advantageous for gathering descriptions of the interviewee's life-world (Kvale, 1983) and to

understand issues that are not amenable to observation (Mason, 2002), such as reconstructing negotiation preparation events and individual preparation. In addition, and from a practical perspective, interviewing is less intrusive and makes it possible to reach a larger group of negotiators, compared to observation (Creswell, 2012).

To conduct an extensive sample of interviews among the selected geographies and of the various company roles would not be possible given the resource limitations of this single-researcher study. However, in-company web based open-ended surveys can generate a quality of responses similar to that of interviews (Smyth, Dillman, Christian, McBride, 2009) and, thus, can generate the rich, descriptive responses that were sought after in this explorative study. Moreover, open-ended web surveys can often offer more anonymity and elicit more honest answers compared to interviews (Erickson & Kaplan, 2000; DeMaio, 1984) and would significantly lower the time investment per respondent due to the fact that transcription is done by the respondents themselves.

Self-reported answers from surveys, open-ended and closed ended alike, are most likely subject to the influence of the illusory superiority bias (Hoorens, 1993), social desirability (DeMaio, 1984; Nederhof, 1985; Thomas & Kilmann, 1975), and self-presentation concerns (e.g. Jones & Pittman, 1982).

The more specific drawbacks of open-ended surveys, in addition to being time consuming to analyse, are in achieving response quality (Smyth et al., 2009) reliability, and validity as a result of possible coding decisions made by researchers (Krippendorff, 1980; Seidel & Kelle, 1995).

One other concern with using open-ended surveys is that respondents may lack the necessary rhetorical devices used to refer to specific activities found in the literature, which may lead either to nonresponses or misleading categorizations (Geer, 1998). To mitigate these concerns,

the participants were purposefully selected from among those cognisant of the common negotiation language (see page 142). To further mitigate these concerns, the data was coded and analysed inductively; that is, following a process of coding the data without trying to fit it into a pre-existing coding framework (Braun & Clarke, 2006), which created the list of negotiation preparation activities using respondent's own terms. The list from the survey and the list derived from the literature review were both compared later on in order to create a comprehensive model without the use of idiosyncratic terms and definitions (see page 146). This comparison was facilitated by the fact that the researcher, at the time of the analysis, had spent more than a year as a member of the organization and participated as an observer in over ten negotiations.

The open-ended survey response quality, which can be gauged by response length, number of themes reported, elaboration on themes, response time, and item nonresponse (Smyth et al., 2009), are well-known concerns when conducting survey research (Nauta & Kluwer, 2004; Oates, 2005). This concern was mitigated, as suggested by Smyth and colleagues (2009), by offering the survey only to those respondents who had participated in the negotiation training and by optimizing the verbal and visual components (i.e. altering the size of the answer box and including an explanatory note stating that answers could exceed the size of the box).

Response quality can be enhanced along some dimensions, through using a closed-ended survey. Using a Likert scale, for example, would enable inferences to be drawn about the frequency or intensity of a particular preparation activity. On the other hand, the closed nature of the responses might inhibit more expansive responses, a limitation that is not overcome by offering the respondent the option to provide "any further comments" at the end of a questionnaire. Two well researched reasons speak in favour of using open-ended questions, as opposed to close-ended one,

in this explorative study (e.g. Schuman & Presser, 1979). Firstly, the need to discover the responses that individuals give spontaneously and secondly the desire to avoid the bias that may result from suggesting responses to individuals (Reja, Manfreda, Hlebec, & Vehovar, 2003).

Consequently, I adopted an open-ended survey approach, which still would allow the respondents to speak aloud and candidly about their experiences. On the basis of 68 open-ended surveys from negotiators within the company, the study embraced a rigorous thematic analysis within the interpretive paradigm (Braun & Clarke, 2006) in order to: (1) generate a comprehensive self-reported model describing which activities negotiators undertake when preparing for a customer negotiation, and (2) to understand who usually conducts these activities (with or without team).

3.4.1 Survey data collection.

The practitioners were purposively selected according to two firm inclusion criteria (Creswell & Clark, 2007; Kemper, Stringfield & Teddlie, 2003). Firstly, they must continuously participate in negotiation preparation and planning within the company (though not necessarily be present at the negotiation itself) and secondly, they must have successfully completed the internal two-day negotiation training which was taught by me. This ensured that all the respondents were cognisant of the basic terms, principles, and activities of good negotiation preparation and which allowed for a better understanding of their self-reported answers to be given. Experience in negotiation preparation does not necessarily mean that the respondent knows the customer, only that they continuously participate in negotiation preparation.

At the time the survey was launched, the company was going through a period of a high degree of uncertainty, primarily due to the prediction that there would be upcoming layoffs. This

context underlined, and possibly aggravated, the issues of honesty and the willingness to respond (DeMaio, 1984; Jones & Pittman, 1982; Nederhof, 1985). The remedy chosen was to emphasise the fact that the survey was confidential and for academic purposes exclusively. Furthermore, I used a non-company e-mail address to submit the survey in addition to eliminating the company's name throughout the survey. Moreover, I spoke to and privately e-mailed more than 50 of the potential respondents after the survey's launch with the purpose of increasing both the number of surveys completed and their quality.

An important element of timing concerns the knowledge, perception or experience we wish to measure with our survey (Druckman, 2005). The experiences that were sought out in this survey occur on a continuous basis and are not related to any one single event, but this is not so for the negotiation skills as the training took place only once, which led me to launch the survey as soon as my sample size reached over 100 individuals. Still, it is important to identify a period in which the respondents were more amenable to collaborate (Druckman, 2005), and for this reason the survey was launched on April 11th, 2012 - following the closing of the first financial quarter and in the middle of the week, where the respondents were expected to experience less work pressure. At the time of the survey's launch all respondents had received the negotiation training within the previous 14 months.

The final number of complete surveys was 68 out of 101, far above the defined minimum of 50. The length of the respondents' answers to the 13 open-ended questions ranged from between 78 to 900 words, with an average of 370 and a standard deviation of 203. The 68 respondents who completed surveys were functionally distributed with 35 (51%) from sales, 15 (22%) from service, 12 (18%) from legal contracting, and six from other areas (9%). 50 of the respondents were

working in the south region (the Mediterranean and South and Central America) and 18 in the north region (UK, Denmark, and Sweden). Ten (15%) of the respondents were female; 58 (85%) were male. All of the participants had a Bachelor degree or Master's degree in engineering, law, business or comparable. The 33 participants who did not fully complete the survey and, hence, were not included in the analysis were representative of the sample in so much as they belonged to all four functional groups and both geographical areas.

3.4.2 Survey development.

The purpose of the survey was to make the respondents speak aloud and candidly about their experiences, which meant that the questions needed to be open-ended questions. No questions relating to age, gender, education, seniority, etc., were asked as the configuration of the survey using www.surveymonkey.com and the access to the company employee database gave me the identification of the respondent and, thereby, to all relevant non-confidential, personal information.

The survey questions were developed with the explorative nature of the study, the research questions and propositions in mind and after I had been privy to extensive preparation meetings and customer negotiation observations at the company for a period of over 15 months. The initial questionnaire was reviewed by four people from the company who all qualify as having extensive experience with negotiation preparation and planning (two from sales, one from legal, and one from another department). On the basis of their inputs the survey was amended where it was deemed appropriate. As a concluding pilot test the survey, in its final web format, was sent to two sales managers of the company and one negotiation academic, and minor amendments were made.

The survey questions used to collect survey data, to respond to research questions one and two, amounted to a total of four open-ended questions (Appendix C on page 287, shows a

simplified paper version of the survey questionnaire which include questions not used for this analysis as they were not related to the final research questions):

Q1: How and what do you typically Prepare and Plan for your negotiations? - Individually (working on your own)?

Q2: How and what do you typically Prepare and Plan for your negotiations? - With colleagues or external consultants (not necessarily part of the negotiation team)?

Q3: How and what do you typically Prepare and Plan for your negotiations? - With the entire negotiation team (2 or more persons)?

Q11: If you use any tools (worksheets, checklists, Company tools...) as part of you Pre-negotiation Preparation and planning; if so why did you use them? Please also briefly describe the key figures of the tools you used.

In the answers to Q11, some respondents specifically mention the activities undertaken individually, among others or with the team to questions other than those which addressed that specific topic in their answers. In order to get a more complete picture, then, these quotations have been added to the quotations from Q1, Q2, and Q3 respectively. The new larger dataset for activities is labelled Q1' for individual activities, Q2' for activities done with others, and Q3' for activities undertaken with the team. The collective data from Q1', Q2' and Q3' will be used to answer the first research question: Which preparation activities are undertaken to conduct a complex business negotiation.

The remaining research question, When do preparation and planning activities occur in teams, can only be answered with longitudinal data and will, hence, rely on the case study observation as its only data source (see page 150, later in this chapter).

3.4.3 Survey coding and data analysis.

The analysis of collected data is influenced by pre-existing theories and models that drive the entire research project (Mason, 2002), but also the by the researchers' own inclusive and focus on interpreting what the data is telling him (Braun & Clarke, 2006). Consequently the task of analysis, rather than exclusively adapting to theoretical frameworks, calls for a method that allows for both deductive and inductive coding. Thematic analysis was chosen as it presents a good fit to my data sources and to my research questions through its capacity both to generate salient themes and categories and allows for both deductive and inductive coding.

Thematic analysis is a method for identifying, analysing, and reporting patterns (themes) within data. It minimally organizes and describes the data set in rich detail. However, it frequently goes further than this and serves to interpret various aspects of the research topic (Boyatzis, 1998). The development of the themes themselves involved interpretive work and produced not just a descriptive analysis but, instead, a theorized analysis (Braun & Clarke, 2006). Computer Assisted Qualitative Data Analysis (CAQDAS) tool ATLAS.ti was used to manage the survey data, for code generation, and to support the thematic analysis through various data queries which applied Boolean and proximity operators (Friese, 2012; Saldaña, 2009).

There are six phases in thematic analysis (Braun & Clarke, 2006) as shown in Table 11.

Table 11. Phases of Thematic Analysis

Phase	Description of the process
1. Familiarizing yourself with your data:	Transcribing data (if necessary), reading and re-reading the data, noting down initial ideas.
2. Generating initial codes:	Coding interesting features of the data in a systematic fashion across the entire data set, collating data relevant to each code.
3. Searching for themes:	Collating codes into potential themes, gathering all data relevant to each potential theme.
4. Reviewing themes:	Checking if the themes work in relation to the coded extracts (Level 1) and the entire data set (Level 2), generating a thematic 'map' of the analysis.
5. Defining and naming themes:	Ongoing analysis to refine the specifics of each theme, and the overall story the analysis tells, generating clear definitions and names for each theme.
6. Producing the report:	The final opportunity for analysis. Selection of vivid, compelling extract examples, final analysis of selected extracts, relating back of the analysis to the research question and literature, producing a scholarly report of the analysis.

Source: Braun and Clarke (2006).

After the first reading of the survey material, and prior to commencing the initial coding generation, a series of deductive codes deriving from the work of Peterson and Lucas (2001) and from dual concern theory (e.g. Blake & Mouton, 1962; Carnevale & Pruitt, 1992; Pruitt & Rubin; Thomas, 1992) were introduced as free codes and served as my *sensitizing devices* (Blumer, 1954; Patton, 2001). The data was primarily inductively coded, apart from the deductive codes mentioned, and was undertaken with a view to applying both descriptive coding (Saldaña, 2009; Miles & Huberman, 1994) and in-vivo coding (Saldaña, 2009; Charmaz, 2006). This coding process was already factored into the analysis (Miles & Huberman, 1994) as the data was organized into meaningful groups (Tuckett, 2005). The focus lay on giving full and equal attention to the full data set for the purposes of identifying aspects which could form the basis for categories and themes in the subsequent steps of the analysis (Braun & Clarke, 2006).

Recognizing that qualitative analysis guidelines should allow for flexibility (Patton, 2002) phases 3, 4, and 5 (Table 11) were conducted more as a recursive process (Braun & Clarke, 2006) and involved moving back and forth between the phases. During the second cycle process the codes

were likewise amended, merged, and generated as part of the cyclical coding process (Saldaña, 2009). Focused coding was used to derive the most salient themes (Charmaz, 2006) as this type of coding is a way to extend the thematic analysis, which is recommended (Saldaña, 2009). In addition CAQDAS programs like ATLAS.ti lend themselves very well to focused coding since they simultaneously enable coding, category construction, and analytic memo-writing (Saldaña, 2009) and they help to systematise and order the data which enables for a more thorough and reliable analysis to be constructed (Ghauri, 2009).

The thematic analysis described above (phases 1 to 5) was first applied to the survey data which created codes and themes in relation to the research questions. Secondly, thematic analysis was used to create the list of negotiation preparation activities according to the recommendations in the literature (Table 9, page 130. Full overview Appendix A, page 284). The list from the survey and the list from the literature review were, consequently, compared and this created a comprehensive model and avoided the use of idiosyncratic terms and definitions (Yin, 2009).

The results of the thematic analysis for both research questions were reported as frequency tables, cross-tabulations, or correlations, as is typically the case with thematic analysis (Jackson & Trochim, 2002). To avoid overrepresented or underrepresented counts, I followed Kraut's suggestion (1996) to calculate occurrences on the basis of the number of respondents rather than on the number of comments. The respondents had the opportunity to write an unlimited number of activities in response to any question, but each respondent was only counted once within each theme, category, and subcategory. Therefore, if some respondents mention activities in more than one subcategory, within the same category, the sum of respondents in the subcategories will exceed the number of total respondents in that category (Friese, 2012).

MacQueen, McLellan-Lemal, Bartholow, and Milstein (2008) found that the use of a structured codebook fosters a reflexive approach which serves to verify whether, how, and why, one piece of text is similar or different to another. Consequently, to increase the reliability and validity of this study where the coding was conducted by a single researcher (Seidel & Kelle, 1995), an exhaustive codebook was developed with the purpose of maintaining consistency throughout the coding process by defining when and when not to use a specific code (Saldaña, 2009). The process of developing the codebook, the term for a coding manual used by several researchers (Braun & Clarke, 2006; Seidel & Kelle, 1995; Weingart, Thompson, Bazerman, & Carroll, 1990), was complex and dynamic guided by the simple and stable structure proposed by MacQueen et al., (2008). MacQueen's structure includes: (1) a definition of the activity, (2) inclusion criteria, (3) exclusion criteria, and (4) a contextual example. An extract of the codebook is included in Table 12 (Full codebook in Appendix D on page 287).

Table 12. Extract from the Codebook

Activity Category:	Definition	Inclusion criteria	Exclusion criteria	Contextual examples
1.4. The Other Party				
1.4.1. Understand the Customer Organization	The customer organization excluding the team and the individuals.	Decision-making criteria and process, culture, constituents, financial health, shared/joint history of the parties. Customer intelligence.	Pipeline, the customer team, the individual negotiators.	"I collect the background information with customer if exists, if not then I make a quick web research of customer's profile and activities."
1.4.2. Understand the Negotiation Team	The customer negotiation team and its constituents.	The members, team constituents, team interests, preferences and priorities, history of team style, strategy and tactics.	Customer organization, the individual negotiators.	"Who from the client is coming to the negotiation, and what are their roles, preferences and position in the buying centre."
1.4.3. Understand the Individual Negotiators	The individual negotiator and his or her constituents.	The Individual Negotiators interests, needs, priorities, preferences, negotiation styles and other influential conditions.	Customer organization, the negotiation team.	"I spend a lot of time analysing the buying centre to find out how to meet all the participants, and best identify their needs (incl. individual needs)."

It was expected that the open-ended design of the survey would harbour fewer responses in each activity than when compared to a closed-ended survey (e.g. respondents may simply forget some activities or not consider an activity to be relevant) as a trade-off for the rich descriptive

responses sought after in this explorative study. In light of this, the criterion for an activity being counted as *commonly* performed was set lower. For this study, a minimum of 15% of the respondents (ten or more) must report the activity under the relevant questions in order for it to count as being commonly cited (Research question 1, Activity propositions).

A category is considered as *usually* conducted, with or without the team, when 50% or more of the total respondents in the given category cite it (Research questions 1, Level propositions). With this definition, and following Weiss (1993), an activity can usually be conducted both without and with the team.

By means of the survey data, we are able to answer the propositions of research questions one and two. However, the temporal propositions in relation to research question 3 require data generated over time. We, therefore, turn to the final method of data collection, the case study.

3.5 Case study

According to Yin to conduct a case study is to make an “empirical inquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident” (2009, p. 18). Hence, this case study will enable me to obtain a thorough understanding of real-life negotiation preparation and its encompassing activities and, thereby, create context dependent knowledge (Flyvbjerg, 2006).

Whereas the self-reported answers from the survey are most likely subject to social desirability (DeMaio, 1984; Nederhof, 1985; Thomas & Kilmann, 1975) and other biases. The case study’s observations will allow for the understanding of a real-life phenomenon and its pertinent contextual conditions (Yin, 2009) and will add the temporal dimension to understand at what point

in the negotiation process activities are conducted in the negotiation team, which was not captured through the survey.

The case study is focused on a specific event while the survey reflects a general experience. Still, because the case is representative of the ongoing seller negotiations (see below) it also serves to complement the survey findings as a secondary purpose. Activities, possibly forgotten or not considered relevant by respondents of the survey, may be observed or identified through other secondary sources (e.g. e-mails). This contributes to, and most likely expands upon, the preparation activities identified through the analysis of the survey data.

In summary, the case study enables me to understand when and by whom activities are conducted. In addition, it will serve as a validation check of the survey analysis' findings.

3.5.1 Site and case selection.

The decision to focus on an exploratory single case study makes the case selection central. Four criterions were identified: (1) the case should be representative (Farquhar, 2012), (2) critical (Flyvbjerg, 2006), (3) have the potential to become longitudinal (Yin, 2009), and (4) participants and management should be supportive of the research. The rationale for the choice of case was to identify a negotiation case that would be representative for the industry, with the purpose of capturing circumstances and conditions of a typical negotiation (Yin, 2009). According to Flyvbjerg (2006) various strategies of case selection are not necessarily mutually exclusive and may provide a unique wealth of information as one adopts various perspectives and conclusions on the case according to whether it is viewed and interpreted as one or other type of case. With this in mind another selection criterion was added, the critical case criterion that would allow me to make the logical deduction: If this is (not) part of the preparation for this negotiation, then it applies to all

(no) negotiations. The third selection criterion was to identify a negotiation which had the potential to become longitudinal and which would allow for studying the same case at various points in time and, thereby, see NPP from different types of agendas with different participants (Yin, 2009). The fourth, and final, criterion is the interest of the participants in the research, as data collection is highly dependent on their collaboration, and their willingness to include the researcher in every exchange of information.

The chosen negotiation took place in Europe by means of conference calls, video conferences and face-to-face meetings, and with participants from North America, Europe, Asia, and Africa. The rationale for the case selection in terms of the four criteria was:

1. That the case be representative because the customer belongs to the largest customer segment and has already a significant installed base with various suppliers in various regions in the world. Furthermore, the customer segment is estimated by the company to be one of the most attractive segments due to their expected future investments and strategic fit (Internal documentation).
As negotiators are involved in multiple sales negotiations in parallel (Watkins, 1999; internal documentation) and because negotiations involve the same recurring issues (internal documentation), preparation activities for representative negotiations are likely to be similar one negotiation after another.
2. That the case be critical in the sense that the team has worked together during many negotiations and know each other very well. In addition, that the manager is very dedicated to team collaboration and participants were thorough and dedicated to negotiation preparation according to my knowledge from the training sessions and in comparison to other negotiation preparation observations made over the previous 12 months. This makes the case critical in the sense that we can draw the following logical deduction: If this activity is not part of the NP for this case, then it does not take place (Flyvbjerg, 2006).
3. That the case has potential to become longitudinal as it is highly complex and only in the initial phase (end of the Value Engineering phase, see Figure 7, page 169) prior to the first face-to-face negotiation.

4. That the case has support from management and participants, as the local management expressed their desire to become sponsors of the research (Bryman & Bell, 2007). Furthermore, participants all expressed their interest in continuing the research after a four day pre-negotiation and face-to-face first round negotiation and post-negotiation in February 2012.

With the argumentation outlined above the case was selected even though I did not fully commit to the project until I had collected the minimum data necessary to do so.

3.5.2 Case study data collection.

The preliminary work on the potential contract involved a wide range of managers, technical experts and others, some of whom were called upon again during the negotiation itself. However the decision power within the given mandate according to the company sales process (Figure 7, page 169) lay within the core negotiation team and so the unit of analysis of the case study is the negotiation team (Yin, 2009), which is defined as the individuals participating in the preparation and planning sessions both prior to and after the customer negotiations. Consequently, the primary data source (Farquhar, 2012; Yin, 2012) is the synchronous group interactions during the preparation and planning sessions rather than individual activities and asynchronous activities such as e-mail correspondence (secondary data sources).

The primary data was collected during team meetings held prior to anyone entering the meeting with the customer, pre-meetings, and post-meetings held immediately or few working hours after the customer meeting. The collection period of primary data was from January 19th, 2012 to January 22nd, 2013 covering 20 customer meetings with a total of 36 recordings, 17 of pre-meetings, and 19 of post-meetings. Of the almost 12½ hours of recording, 53% related to the pre-meetings and 47 % to the post meetings (see Table 13). For clarification the term post-meeting is

different from the term post-negotiation which is used in the literature to refer to the implementation of the agreement (e.g. Brett et al., 1999). For more information refer to Appendix E on page 293, that contains an overview of the transcriptions of the recorded observations and conversations.

Table 13. Primary Data for the Case Study

Meeting type	No. of meetings	Total Duration [hh:mm:ss]	Participation: Lead Negotiator	Participation: Sales Management	Participation: Legal	Participation: : Service	Participation: Other
Pre	17	06:33:00	06:21:30 97%	05:02:30 77%	03:14:00 49%	01:45:30 27%	01:27:00 22%
Post	19	05:50:00	05:50:00 100%	03:32:30 61%	03:57:30 68%	00:24:00 7%	00:07:00 2%
Total	36	12:23:00	12:11:30 98%	08:35:00 69%	07:11:30 58%	02:09:30 17%	01:34:00 13%

In addition to the primary data, secondary data was collected from various sources, namely conversations with the lead negotiator, which were recorded and transcribed (6 recordings of a total duration of 52 min), internal and external e-mails (194 e-mails from 12 different people) and written notes by the researcher from various conversations with team members, both individually and collectively. The secondary data was collected from January 17th, 2012 until July 24th, 2013.

Every one of the participants signed a consent document which allowed me to record every internal meetings and conference calls. In addition, participants were disciplined in giving me access to documentation and I was copied in on most correspondences, something that had shown to be complicated in the previous negotiations in which I participated. All of the data yielded, including the audio files, were saved in a chronological case study diary. Of the 16 people who participated in the case study, 12 responded to the survey including the core negotiation team (lead negotiator, legal representative, and sales manager) and all the service representatives.

3.5.3 Case study data analysis.

Using the NPP model data collection device, developed via the literature review, the pre and post preparation and planning meetings, which had been transcribed, were submitted to a CAQDAS-supported thematic analysis (same as for the analyses of the content of the survey answers) with the purpose of identifying activities which took place during the meetings. The coding was generated using the codebook (page 266) developed during the survey with the addition of the relevant terms translated into French and Spanish.

The total number of preparation and planning activities coded were grouped through the thematic analysis, to test the temporal propositions, and were then divided into episodic phases and submitted to a frequency analysis. Empirical research has focused on stage models which are more easily comparable across research primarily (Vetschera, 2013). However, this study uses an episodic phase approach which allows for the identification of naturally occurring shifts in the negotiation process (Weingart et al., 2004). The naturally occurring episodic phases approach was chosen over the more rigid stage model approach as it allowed for a richer and more detailed picture of the negotiation process to emerge (Vetschera, 2013) and so was more suited to answering the research question posed in relation to the temporal dimension (Weingart et al., 2004).

To this end, the negotiation timeline was separated into episodic phases with specific beginnings and ends (Weingart et al., 2004) marked by a turning point which changes the direction of the negotiation (Druckman & Olekalns, 2011). The use of frequency analysis is, by far, the most common approach to analysing negotiators' interactions (Weingart et al., 2004) and is used in several negotiation studies (e.g. Olekalns et al., 2003; Olekalns et al., 1996; Weingart et al., 1990). Focusing on the frequency with which strategies are used tells us about when the different activities

are conducted but it does not tell us in which sequence the activities might occur within a given meeting or phase. Still, this approach is the most appropriate approach possible to answer our concern with time segmentation.

As a consequence of the choice, to use episodic rather than the more rigid stage model approach, the four phases do not have the same amount of recorded preparation and planning time. Given that negotiators are time poor, one would expect that preparation and planning is conducted within a limited time which may be one reason for the average meeting (pre and post) duration being only 21 min and the maximum being 58 min though some of the negotiations lasted up to 8 hours. The relatively short time invested in the preparation and planning meetings suggests that one would expect that negotiators would have conducted more negotiation activities were the planning meetings longer.

As a result, the phases with longer recording (e.g. open issues) were expected to have a relatively higher number of observations than the phases with shorter recording (e.g. three party). To compensate for this unequal effect, the relative phase frequency distribution's score (the number of observations of any of the activities within a phase divided by the total number activities within all phases) will be normalized for the duration of the phases.

With the purpose of avoiding discussions, based on non-evidential data, eight occurrences have been set as the minimum number of observations for an activity to be registered as part of the team negotiation preparation and planning in the actual negotiation. This criterion is different from the survey study, for which a minimum of 15% of the respondents (10 or more) must have reported the activity under the relevant questions in order for it to qualify.

The temporal propositions use two distinct terms in order to understand when in the process the team activities are expected to occur. One phase is considered *primary* for a category when 50% or more of the observed activities takes place within this phase. The term *ongoing* is used when all of the phases, or a number of phases, represent a minimum 10% of the activities and none of the phases surpasses 50% of the total activities.

3.6 Research methodology: A summary

An open-ended survey, with 68 purposefully selected respondents, provided an understanding of the preparation and planning activities they conduct, and with whom they conduct these activities, as part of their ordinary customer negotiations. The self-reported survey answers will, however, not provide data to understand when in the negotiation stage the team activities are conducted. Consequently, the second part of the data collection comprise a 13 month interpretive single case study following a complex negotiation over the sale of a triple digit million Euro power generation plant. The case study serves two purposes; on the one hand, it provides an understanding of when the team activities are conducted in the process, and on the other hand it allows for the validation of the survey's self-reported team activities.

The interpretive research design, described above, demonstrates congruence between the method and the research questions by means of selection of appropriate data sources (open-ended survey and case study) and analytical procedures adapted to the research questions and the methodical assumptions. Consequently, methodological coherence was achieved (Morse, Barrett, Mayan, Olsen, & Spiers, 2002).

The challenges of doing research in a closed setting were considered with the purpose of getting the best possible access to the field and, thereby, to ensure an appropriate sample (Morse et

al., 2002). Moreover, and to further ensure the appropriateness of the sample, purposive sampling was applied to the survey and strict selection criteria were developed for the case study (Creswell & Clark, 2007; Oates, 2005).

The thematic analysis employed followed a detailed, yet flexible, recursive process involving both deductive and inductive coding followed by theme creation and definition. This careful description of the phases used in data analysis demonstrates a high degree of clarity (Braun & Clarke, 2006), which together with the exhaustive codebook will allow for replication by other researchers. Using CAQDAS to support the coding and analysis allowed for a more thorough, transparent, and reliable analysis, thereby adding further rigour to the research design.

Due to the nature of a doctoral study, the data coding and theme identification was done by one person only and the analysis was discussed with the supervisor. This process allowed for consistency but failed to provide *inter-rater reliability* (Armstrong, Gosling, Weinman, & Marteau, 1997).

Furthermore, and with the necessary resources, the research design could be amended by applying a multiple case design, thereby decreasing its vulnerability and further strengthening the study's findings (Yin, 2009). Selecting a multiple case study design in favour of the survey would, however, not have led to satisfactory results, as the contextual richness of the respondent's answers, in terms of number, functions, and nationality, could not have been ascertained.

Still, with the limitations mentioned in the design, I argue that the research design presented demonstrates rigour throughout the process, thereby ensuring both plausible and credible outcomes which are central to every research project (Hammersley, 1992; Yin, 2009). The next chapter offers

a thorough description of the context of the company, its sales process, and the specific context in which the case study negotiation occurs.

4. Company Context and Sales Process

This dissertation benefits from having access to a global wind power plant solution supplier which caters to the wind energy sector in their capacity as turbine manufacturer. The focus, from the perspective of the seller, is on the preparation which is undertaken for buyer-seller negotiations of capital equipment worth multimillion Euro. The first part of this chapter will introduce the context of the company before going on to describe the company's sales phase process and, finally, will describe the specific context of the case study.

4.1 Company context – complex business-to-business negotiations

Wind power is the renewable technology which has made the most progress in recent years (Musgrove, 2010) and the overall investments in the global wind sector amounted to almost EUR 60bn in 2012 (Bloomberg New Energy Finance, 2014).

Though wind turbines have advanced to the point where they, with good wind resources, can generate electricity at a cost that is comparable with that produced by burning fossil fuels in most areas (Musgrove, 2010; Intergovernmental Panel on Climate Change [IPCC], 2012), policy measures are currently required to ensure their rapid deployment in most regions of the world (e.g. National Research Council [NRC], 2010; International Energy Agency [IEA], 2009).

From a cumulative capacity of 31 gigawatt (GW) by the end of 2002, installed global wind power capacity increased nine-fold in 10 years to reach more than 283 GW by the end of 2012 (Global Wind Energy Counsel [GWEC], 2013.), resulting in a compounded annual growth rate (CAGR) of 25% (Figure 4), and the share of wind generation of total energy generation worldwide rose from 0.2% in the year 2000 to 2.3% in the year 2012 (Biroł, 2014).

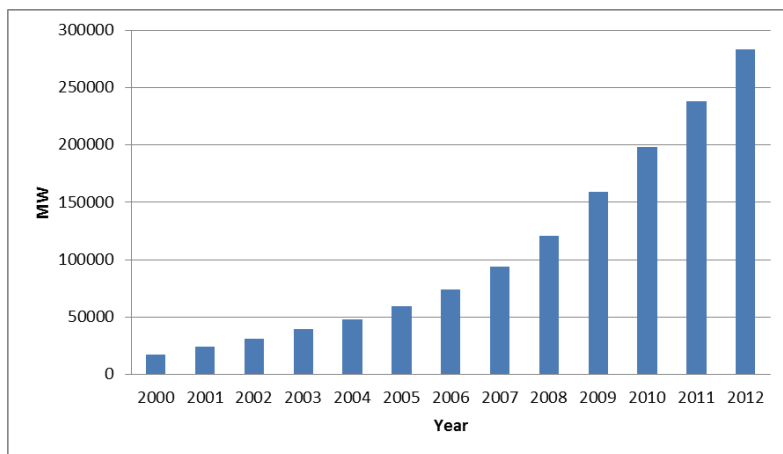


Figure 4: Global Cumulative Installed Wind Capacity 2000-2012. Adabted from GWEC (2013)

Wind power capacity additions and replacements are expected to continue to grow at a much lower level in the future, with a predicted constant global annual installation of approximately 40GW from 2013-2020 (CAGR 9%), of which wind power will provide about 4.9% of global electricity in 2020 (Biol, 2014).

An additional account of the context of the company under study will be described under the following three headings: (1) environmental context, (2) nature of the interaction, and (3) negotiation context.

4.1.1 Environmental context.

The industry rule of thumb points toward a turbine cost per installed megawatt (MW) of approximately EUR 1M (European Wind Energy Association [EWEA], 2009), suggesting a turbine value of 45 GW, installed in 2012, to be in the vicinity of EUR 45bn. However, a more thorough analysis of the 2013 turbine prices reveals significant differences between the average price per

MW, depending on the turbine manufacturer, reaching from approximately EUR 1m in the case of Danish Vestas and Indian Suzlon, to EUR 400,000 in the case of Chinese Ming Yang, which supplies to the home market exclusively (Smith, 2014). The National Renewable Energy Laboratory, calculated the onshore turbine costs for the US market to be between EUR 700,000 and EUR 960,000 per MW, and offshore turbines at around EUR 1.25 million per MW (Smith, 2014). Thus, location is a key factor affecting turbine prices — both in terms of geographic location and whether the turbines are positioned onshore or offshore - along with numerous other factors (Smith, 2014). For our purposes, it is sufficient to conclude that the global market value of wind turbines in 2012 to be a multibillion Euro market with prices varying, depending on the supplier and on the location.

As visualized in Figure 5, at the end of 2012 the accumulated installed global wind power capacity was primarily located in Europe (39%), Asia (35%), and the USA (24%). The top five countries in cumulative installed capacity by the end of 2012 were China, USA, Germany, and India, with China and USA each contributing almost 30% of new capacity in 2012 (BTM Consult [BTM], 2013; GWEC, 2013). According to the World Market Update by BTM (2013), the regional distribution of new installed capacity across continents from 2014 to 2018 is estimated to be: American continent 18.8%; Asia (including OECD-Pacific) 48.2%; Europe 27.4%; and rest of the world 5.6%.

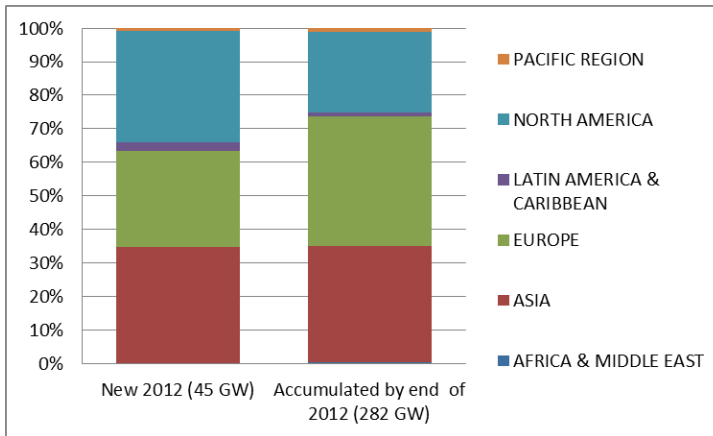


Figure 5: Global Installed Wind Power Capacity - Regional Distribution. Adabted from GWEC (2013)

At the time of the study the industry was still struggling with significant overcapacity and with a downward pressure on turbine prices as a result (BNEF, 2014a; GWEC, 2013). In the case of China, the world's largest market with a 29% share of the new capacity in 2012, the price competition was pushing smaller manufacturers out of the market and keeping the market share of international manufacturers low (GWEC, 2013). Similarly, research on the US market, from the Lawrence Berkeley National Laboratory, found that turbine prices have fallen by some 20-30% between 2008 and 2012 (Wiser & Bolinger, 2013). Overcapacity in the marketplace is shifting the bargaining power towards the buyers, which will have an effect on the dynamics of the negotiation (e.g. Magee, Galinsky, & Gruenfeld, 2007) and possibly upon how negotiators prepare for their negotiations.

4.1.2 Nature of interaction.

The negotiations can be defined as buyer-seller, business-to-business exchange transactions of made-to-order solutions with multiple negotiation issues and multiple negotiation rounds. The conventions and norms of the industry, which are habitual in many complex and large scale negotiations (Salacuse, 2003), prescribe private team negotiations with ratification on both sides.

Similar to the findings of Watkins (1999), most negotiators in the company manage multiple negotiations in parallel, and the company has many negotiators doing similar things. The duration of the sales process can be up to five years with multiple participants, depending on the stage of the interaction. Within the negotiation process the number of participants on the seller's negotiation team is between 2-7, but mostly two: sales and legal. For the negotiation preparation and planning meetings the number of participants is approximately 2-10.

4.1.3 Negotiation context.

The scopes of the negotiations encompass not only the power plant (the investment CAPEX) but also on occasions the *balance of plant* (infrastructure surrounding the power plant – CAPEX) as well as in most cases, a long term service agreement (OPEX). The project life of the power plant is up to 20 years which makes the implementation of the agreement highly important (Ertel & Gordon, 2007). Negotiations are potentially complex with, according to Weiss (1993):

Many individual actors, several sets of issues within the overall agenda, various arenas of activity, and numerous other factors. Carried out over many months, sometimes achieving agreement, sometimes not, and these complex, international negotiations are a challenge to manage and to understand. (p. 269)

According to Make Consulting (2013:11) wind turbine customers, the customers of the company under study, can be classified into five basic categories:

1. Utility – State, private or publicly owned
Companies that generate, transmit, and distribute energy (e.g. Iberdrola or EDF).
2. Independent Power Producer (IPP) – State, private or publicly owned
Non-utility power generators that sell the power they generate in the wholesale market, typically to electric utilities (e.g. TransAlta or CGN).
3. Industrial - State, private or publicly owned
Typically industrial manufactures (e.g. cement) or service providers (e.g. IT) that have built power generators for their own use, either for cost, supply, security or sustainability reasons (e.g. Cemex or Google)
4. Developers - State, private or publicly owned
Entities that are focused on the early part of the value chain who typically sell of the assets shortly after commissioning (e.g. SunEdison or Juwi).
5. OEM Developers - State, private or publicly owned
As for the developers above, OEM developers are developing wind plants for sale using their own equipment as a way to increase sales on turbines and service (e.g. Acciona or Gamesa).

Make Consulting (2013), in their analysis of the top global asset owners representing 57% of the cumulative installed base of wind power assets, found that nearly all the major asset holders are IPPs (67%) and Utilities (31%). The industrial players represent the remainder (3%) and no developer was among the top asset owners by the end of 2012. The breakdown of the ownership structure of the companies analysed showed that 44% were state-owned, 49% were publically traded, and 8% privately owned.

By year end 2012 the leading 25 global asset owners held 125 GW, representing 44% of the installed global capacity; the majority of the 25 companies were Chinese, owning over 55 GW (Make, 2013).

In most cases the customers need one or more financial partners to *project finance* the project (Gatti, 2012), which often turns the negotiation into a *multi-party* negotiation. The general global trend among the customers is towards consolidation (Greenwood, Usher, Sonntag-O'Brien, Hohler, Tyne & Ramos, 2009) and international expansion (EWEA, 2012; Make Consulting, 2013).

According to IHS Emerging Energy Research (2012), the global turbine manufacturer competitive landscape in 2012 was characterized by three predominant types of manufacturer: pure wind players (37%), Chinese corporations (26%), and conglomerates (27%), who in total represent 90% of the 45 GW installed globally in 2012. Figure 6 shows the cumulative installed capacity of the 10 largest wind turbine manufactures by 2012 (BTM 2013), where Vestas, Enercon, Gamesa, Suzlon, and Nordex belong to the pure wind players. GE and Siemens are large publicly traded conglomerates and Goldwind, Sinovel, and Mingyang belong to the Chinese manufacturers.

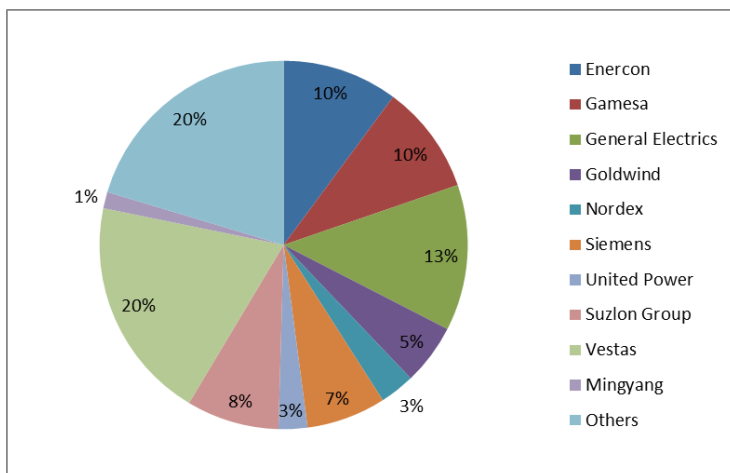


Figure 6: Accumulated Global Installed Wind Power Capacity by 2012 – Top 10 Manufacture Market Shares

Source: BTM (2013)

Apart from competing with competitors producing similar power plant solutions the supplier is, on many occasions, also competing with other energy generation projects, both of a renewable and of a fossil nature (Birol, 2014).

4.2 Sales process of the company

Most companies involved in complex large scale business transactions have a defined sales process (Strategic Account Management Association, 2007). The sales process has a high impact on the way the negotiators undertake their preparation and planning as the different gates and approvals give access to resources and the mandate to enter into negotiations. To better understand the data in in this study I will, hence, try to parsimoniously describe the stage-gate (Cooper, Edgett, & Kleinschmidt, 2002) sales process of the company, which was valid at the time that the data was

collected. The sales process consists of four stages (Figure 7) each of which will be described consecutively.

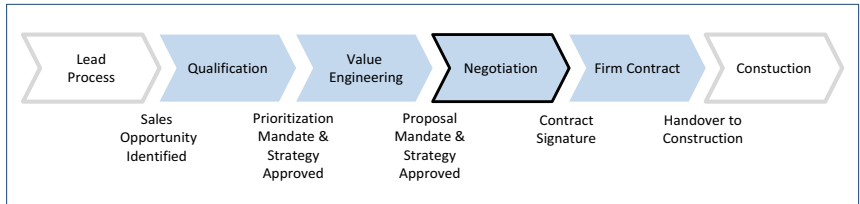


Figure 7: Company Stage-Gate Sales Process

Source: Internal documentation (2012)

The primary purpose of this dissertation is to enhance our understanding of negotiation preparation and planning, including understanding when the negotiation process activities in teams occur, which has lead me to focus on the Negotiation stage within the sales process. This process begins after the approval of Gate 2 (Proposal mandate & strategy approved) and ends when the contract is signed at Gate 3 (Contract signature). Customer interactions and pre-negotiations prior to the defined boundary obviously do take place, but they are outside the scope of this dissertation. Similarly, customer interactions do take place after the contract signature, especially focusing on closing the financing agreements with third parties, but they are equally outside the scope of this dissertation.

Qualification stage. After the hand-over from the sales prospects stage (Gate 0), the opportunity is qualified based on its account, market, and project information. This could include a strategic account plan and a specific plan for the opportunity. The sales department, based on the qualifications, makes a recommendation on how to proceed with the opportunity. An initial

mandate is formulated, if sales believe that the opportunity should be pursued, including recommendations on the resource pull required during the stages which follow.

Value Engineering stage. After the opportunity has been approved at Gate 1 the negotiation team is activated, resources are committed from departments across the company, and customer requirements are analysed in detail. Hereafter, the solution the company intends to offer is developed. At this time the mandate is revisited to ensure work is being done according to what has been agreed upon and, if required, the gate authority is activated to approve changes in the mandate (Gate 2).

Negotiation stage. This is the focus stage of the study. Consequently all participant observations are within this stage. Similarly, the survey was designed in a manner that made the participants think aloud and candidly about what they really did in terms of negotiation preparation and planning during this part of the sales phase.

The phase starts with the assembly of the team which faces the customers' negotiation team, submits the proposal to the customer, and if possible negotiates within the already approved mandate adopted by the company. Where required, the gate authority is activated to approve changes to the mandate. Iterations between customer negotiations and the approval of the mandate may also occur. Once the parties have an agreement the proposal is updated and becomes the commitment to be signed. If no agreement can be found the negotiations are discontinued.

Firm contract stage. Gate 3 may be passed only with a signed contract between the parties and the firm contract stage is thus initiated. The emphasis in this phase is to clear the outstanding issues remaining to ensure a firm contract, to support the financial close, and hand-over to

construction is prepared. The process is concluded with the final approval in Gate 4 wherein the project's internal ownership shifts from sales to construction.

With the company context explained and a description of the sales process made, the next logical step is to introduce the context of the participant observations conducted as a case study and thereby expand the understanding of the specific environment of the negotiation.

4.3 The context of the negotiation

The negotiation observed concerns a multinational and multilingual negotiation over the sale of a triple digit million Euro power generation plant including transport, installation, start-up, and a full scope service agreement. The observations made over 13 months included both preparation and planning sessions prior to customer negotiations and debriefing sessions which occurred promptly after the negotiations. The typical preparation and planning session took place with the lead negotiator and one or more people who sat together physically in one location and other participants who connected via phone- or video conferencing. The participants in the sessions typically also took part in the interactions with the customer, but on occasions different company specialists and management also took part in preparatory and evaluation activities without participating in the customer negotiation. All observations were taped and transcribed, save for the initial sessions. On some occasions the customer negotiations were observed and hand notes were taken. The communication between the negotiators during negotiations by means of group instant messaging is included in the data together with e-mails, minutes of meetings, and other documentation. Verbal and written documentation exists in English, French or Spanish. All quotations included in this dissertation will be shown in the original language and translated into English when applicable. The

languages of the negotiation and preparation and planning meetings were French, English, and Spanish.

4.3.1 The parties

The seller is a large global industrial wind turbine manufacturer (hereafter Manf Co). The buyer is a global renewable IPP (Independent Power Producer, for definition see page 165) with a significant number of energy plants in operation and development. The companies have a history of successful projects dating back almost two decades and are currently, at the time of the observed negotiation, negotiating projects in numerous parts of the world.

Even though the companies have a shared history, the primary players on the different negotiation teams did not have any shared business history. On the buyer's side the primary players comprised the lead negotiator (Customer Lead Negotiator, CLN), the transaction lawyer (Customer Transaction Lawyer, CTL), and the project manager (Customer Project Manager, CPM). On the seller's side the key players, called the seller core team, were the sales manager and lead negotiator (Seller Lead Negotiator, SLN), the transaction lawyer (Seller Transaction Lawyer, STL) and the head of sales (Seller Head of Sales, SHS). The core members of both sides' teams remained the same throughout the observation period. The members of the seller core team did all participate as respondents in the negotiation preparation and planning survey. All names and company names have been disguised. In total, and during the 13 months of observation, 16 people from seven countries and six different departments from the seller's organization participated in the negotiation preparations during the negotiation stage.

4.3.2 The issues and interests of the parties

The customer's driving interest was expected to be to develop a project which kept the internal rate of return (IRR) and the return on investment (ROI) to a maximum, and simultaneously minimized the project risks. Contrary to other case studies (e.g. Fells, 2013) the primary goal was not necessarily to minimize the capital expenditure, but possibly other parameters, such as increased energy output, as they may have a greater impact on the IRR and ROI. The seller's driving interest was to create profitable revenue given the estimated project risks. Furthermore, the seller had a strong interest in locking the customer in as early as possible and in recognising the revenue according to the forecast submitted to management.

The primary issues, from the seller's perspective, can be divided into capital expenditure and operational expenditure by unbundling the negotiation. The capital expenditure depends on the scope of supply (type of energy plant), transport, installation, pricing of the capital equipment, payment terms and securities, and performance guaranties. The operational expenditure is primarily linked to the service agreement and its duration, pricing and performance guarantees.

4.3.3 The parties' alternatives

The best alternatives to a negotiated agreement (BATNA) for the buyer and the seller are unrelated. The buyer has various sellers with whom to negotiate, but this alternative becomes less and less attractive over time as a large part of the initial project work cannot be used by different suppliers indiscriminately. Consequently, the buyer becomes locked-in in with the supplier over time as a change of supplier incurs both costs and generates delays. Given the scarcity of available financing at the time of the observations (Make, 2013), the best alternative for the buyer may become another development project rather than an alternative supplier of any given site. From the

sellers perspective the BATNA is to use the production capacity for another project if the production capacity is fully utilized. At the time of the observation, where the supplier and the industry were struggling with overcapacity (GWEC, 2013), the more probable BATNA is simply to live with the unutilized capacity and its consequences.

4.3.4 The timeline of the negotiation

The researcher observed the negotiation preparation and planning from within the seller's organisation and, consequently, the timeline presented in this section represents the timeline according to the seller's perspective. The purpose of this section is to give the reader a basic understanding of the negotiation process and activities involved including the communication media chosen and the participants on each side.

The timeline is separated into episodic phases that have specific beginnings and ends (Weingart et al., 2004) and which are marked by a turning point that changes the negotiation's direction (Druckman & Olekalns, 2011). During the analysis of the findings (the following chapters) reference will be made to the negotiation timeline, allowing the reader to understand when in the process the phenomenon observed took place. The events described in the timeline (Table 14, page 178) are the key events of the negotiation around which the recorded and transcribed pre- and post-meetings took place. For a specific overview of the recordings see Appendix E page 293.

In early 2009, Manf Co's sales manager, later to be the lead negotiator (SLN) was charged with the mission to identify sales prospects in an area not hitherto developed by the seller. In June 2009 the SLN identified a possible lead in the local press and contacted the potential customer by e-mail. Soon hereafter the parties met in an airport (neutral premises) where they agreed to explore whether they could work together on this project. The customer had worked with the seller's

company on a successful project more than 15 years previously in a different region, but the future lead negotiator had no shared personal history with any of the negotiators on the selling side. Some months later both parties informally rectified the agreement and the necessary studies were cooperatively initialized.

Over the next 18 months – a timeframe that reflects the complexity of these projects – both sides worked together to clarify technical and other specifications, which formed the basis for the initial quotation and contract proposal submitted by the seller at the end of 2011. The sending out of the contract proposal is considered to be the turning point that moves the negotiation into the initial negotiation phase (positioning phase), which is described below. The first formal contract negotiations took place at the seller's location in January 2012, at which time the researcher began the observations. No agreement resulted from the two-day long face-to-face negotiation and negotiations continued in this manner for the months which followed, both over e-mail, over the telephone, and during shorter face-to-face encounters. In April a new face-to-face meeting was organized at the seller's location with the participation of the seller's regional head of service (SSH) and the seller's regional head of sales (SRH). Prior to this meeting CLN had provided a list of initial issues to be discussed during the meeting. A significant number of preparation and planning activities were undertaken by the seller negotiation team as a result of the customer request and the presence of SRH. No agreement resulted from the meeting even though the seller had a "good feeling" about it. This feeling, however, did not last long as the SLN received an e-mail soon thereafter from the CLN threatening to go to the competition as a result of the lack of progress in the project. The initial phase of the negotiation took place over three negotiation rounds. This threat

from the customer resulted in a turning point in the negotiation, moving into the open issue phase (flexibility phase).

The lead negotiators agreed to host a conference call in May 2012 where many of the open issues were discussed and an agreement on how to alter the process, with the purpose of accelerating the negotiation, was reached. Hereafter, and for the next three months, the parties conducted weekly conference calls where incremental steps were taken, although many issues remained unsolved. This phase consisted of nine negotiation rounds, all of which were conference calls of short durations. In July 2012, the parties met again, in person, and at the seller's location, to agree on the scope of the service agreement, which constituted a turning point from more explorative discussions to the agreement phase (repositioning phase).

With the participation of the seller's service sales (SSS) and the regional head of service (SSH) in addition to the seller core negotiation team and the CLN, an in-principle agreement was reached which included a service agreement in the scope of supply. Realizing that the project was in danger of delay the CPM managed to set up a meeting in September 2012 to negotiate a partial agreement on critical components of minor economic value but whose timely execution was of high impact. After eight hours of negotiation between CLN, CPM, and the seller's core negotiation team no agreement was reached. Later that same month the seller received an important document which was desperately needed by the customer. The seller decided to use the report as leverage to sign an exclusivity agreement between the parties and, thereby, protected the large investment of resources already allocated to this project. The resulting face-to-face negotiation concluded with a signed exclusivity agreement between the parties at the end of September 2012. A few days later the SLN found himself obliged to inform the CLN that further delays in the project would cause a problem

for both parties as the technology chosen had been given an end-of-life date. This potential conflict was well received by the CLN who, a few weeks later, proudly announced that pre-agreement with a project co-investor had been signed. The entrance of a co-investor created the final turning point by changing the dyadic negotiation into a three-party negotiation and, hence, the three-party negotiation phase (repositioning phase) was initiated. The number of negotiation rounds in the partial agreement phase was three.

The three parties, seller, customer, and investor, met at the seller's location to discuss technical issues in October. The outcome was satisfactory to all parties and parallel negotiations between the customer and the investor and between the seller and the customer proceeded for the five months which followed. Finally, in June, 2013 the customer and investor announced a share purchase agreement (SPA) between the parties. Due to the formal entrance of the new investor, who was a key account for the seller, the seller decided to introduce the key account negotiation team and put the direct negotiations with the initial buyer on hold. The researcher ceased following the negotiations when they became tripartite. Of the four episodic phases, this is the only one not observed from beginning to the end, making it less adequate with respect to the temporal aspect. After three months of negotiation between the negotiation teams, who already knew each other from numerous previous deals, an agreement between the three parties was reached and signed in August, 2013 – more than four years after the initial contact.

Table 14. The Negotiation Time Line

Phases	Date	Description of Key Events in the Negotiation	Participants	Recorded meetings
	Nov.2011-Jan.2012	On-going informal negotiations via phone or e-mail between the parties at various levels.	CLN, CTL, SLN, STL	NA
<i>Turning point</i>	<i>January 2012</i>	<i>Proposal submitted – Initial negotiations started</i>		
Initial negotiations (Positioning)	Jan.2012	2 days formal face-to-face (F2F) contractual negotiations at the Manf Co's location. Beginning of observations by researcher.	CLN, CTL, SLN, STL, SHS, SSS.	1 Pre (31min) 1 Post (17min)
	Feb.2012-April 2012	Formal contractual negotiations continued (F2F at Manf Co's location, phone, and e-mail).	CLN, CTL, SLN, STL, SHS, SSS	3 Pre (47min) 2 Post (32min)
	April 2012	F2F Formal negotiation following an open issue list created by the buyer (Manf Co's location).	CLN, SLN, STL, SHS, SSH, SRH	2 Pre (44min) 0 Post (0min)
<i>Turning point</i>	<i>April 2012</i>	<i>Buyer threatening to go to another supplier (e-mail correspondence) – Open issues negotiation started</i>		
Open issues negotiations (Flexibility)	May 2012	Encouraged by the seller parties decide to change the process by introducing weekly conference calls and keeping a shared open issues log which is updated by the Manf Co (conference call).	CLN, CPM, SLN, STL, SHS.	0 Pre (0min) 2 Post (38min)
	May 2012-Jul.2012	Various issues according to open issues log and beyond. Weekly conference calls. Power Co's CEO participates in one call (June 2012).	CLN, CPM, SLN, STL, SHS. Other participants, on demand.	5 Pre (108min) 8 Post (115min)
<i>Turning point</i>	<i>Jul.2012</i>	<i>F2F meeting scheduled to agree on service scope - Partial agreement negotiations started</i>		
Partial agreement negotiations (Repositioning)	Jul.2012	Agreement to include service in the scope during F2F negotiation at the Manf Co's location.	CLN, SLN, SHS, SSS, SSH	1 Pre (45min) 1 Post (5 min)
	Sep.2012	Telephone conference (planned as F2F) negotiation (5+3 hours) on a partial agreement which would allow for faster execution of the project. No agreement found.	CLN, CPM, SLN, STL, SHS	1 Pre (45min) 2 Post (77min)
	Sep.2012	F2F negotiations at the Manf Co's location concerning an exclusivity agreement. Agreement signed shortly after the negotiation. Manf Co's announces future end-of-life of the projected technology (phone conversation), which is well received by Power Co.	CLN, SLN, STL, SHS	1 Pre (10min) 1 Post (13min)

(continued)

Table 14. The negotiation time line (continued)

Phases	Date	Description of Key Events in the Negotiation	Participants	Recorded meetings
<i>Turning point</i>	Sep.2012	<i>Pre-agreement between Power Co and co-investor reached – Three-party negotiations started</i>		
Three party negotiations – observation not conclusive (Repositioning)	Oct.2012	Power Co announces that a pre-agreement has been signed with a project co-investor (phone conversations).	CLN, SLN	0 Pre (0min) 2 Post (34min)
	Oct.2012	3 party negotiation between Manf Co, Power Co and investor. Change of scope to satisfy new investor. F2F meeting at the Manf Co's location. Technical specialists participating by video conferencing.	CLN, CPM, INV, SLN, SHS, STH, SCS	3 Pre (60min) 0 Post (0min)
	Oct.2012-Jun.2013	On-going scope negotiations related between Manf Co and Power Co in parallel with negotiations between Power Co and investor. Primarily via telephone and e-mail in addition to two F2F meetings at the Manf Co's location (both in Jan 2013).	CLN, CPM, SLN, STL, SHS.	1 Pre (4min) 2 Post (19min)
	Jun.2013	Conditional agreement signed between Power Co and investor. Manf Co's informed by phone. Due to the entrance of this new investor Power Co changes the negotiation team to the key account team. The researcher stops following negotiations at this point.	CLN, SLN	NA
	Jun.2013-Aug.2013	On-going negotiations between the Power Co, investor) and Manf Co;	NA	NA
	Aug.2013	Conditional agreement reached and signed by all three parties.	NA	NA

Note. CLN, CTL, CPM: customer lead negotiation, transaction lawyer, project manager, respectively. SLN, STL, SSS, SHS, SSH, SRH: sales lead negotiator, transaction lawyer, service sales, head of sales, service head, regional head, respectively. INV: investor, client.

4.3.5 The context of the negotiation: A summary

The negotiation described constitutes an example of a long lasting complex multinational buyer-seller negotiation. Even though the timeline described has been simplified, for the purposes of clarity, one hopefully acquires an understanding of the complexity of issues, interests, alternatives, and parties the negotiators are faced with in their daily work. The negotiation observed constituted four episodic phases: Initial negotiations, open issues negotiation, partial agreement negotiations, and three party negotiations. The first three phases were observed from beginning to end and will be the primary focus of the time segmentation analysis. The fourth phase, the three-party negotiation, continued on more than one year after the researcher stopped the observation.

4.4 Company context and sales process: A summary

The empirical setting is a wind power plant solution supplier who caters to the global wind energy sector as a turbine manufacturer.

The global market for wind turbines in 2012 was a multibillion Euro market and prices vary depending on the supplier and on the location. At the time of the study, the industry was struggling with significant overcapacity and consequent price pressure. Although wind turbines can, in some areas with good energy sources, generate electricity at a cost that is comparable to that produced by burning fossil fuels, policy measures are currently required to ensure rapid deployment in most regions of the world.

The negotiations are defined as buyer-seller, business-to-business exchange transactions of made-to-order solutions with multiple negotiation issues and multiple negotiation rounds. Negotiations are team-on-team negotiations, typically with 2-7 people on each side, and ratification is required by both sides.

The customers of the company can be classified into five basic categories: 1) Utility, 2) Independent Power Producer, 3) Industrial, 4) Developers, and 5) OEM Developers. The developers typically sell their assets after commissioning to the Utilities and Independent Power Producers who, in 2012, represented 97% of asset ownership. Likewise, the manufacturers are characterized by three predominant types of manufacturer: pure wind players (37%), Chinese corporations (26%), and conglomerates (27%), who represent a total of 90% of the global capacity installed in 2012.

The duration of the sales process can be up to five years with multiple participants. The focus of this dissertation is the Negotiation stage within the company Sales process; this process begins following the approval of Gate 2 (Proposal mandate & strategy approved) and ends when the

contract is signed at Gate 3 (Contract signature). The phase starts with the assembly of the team, which faces the customers' negotiation team, who submits the proposal to the customer, and if possible negotiates within the already approved mandate adopted by the company. Iterations between customer negotiations and the approval of the mandate may also occur.

The scope of the case study negotiation under observation included transport, installation, start-up, and a full scope service agreement.

The negotiations parties are a large global industrial wind turbine manufacture (the seller) and a globally experienced renewable Independent Power Producer (the buyer). The companies have a history of successful projects, although the individual negotiators had not done business together prior to this negotiation.

The duration of the negotiation observations, divided into four episodic phases, was 13 months and ended shortly after a partial agreement was reached and a third party joined the negotiations. The observations included both preparation and planning sessions, prior to customer negotiations (pre-meetings), and debriefing sessions, which occurred promptly after the negotiations (post-meetings).

Having described the context of that negotiation and the sales process of the company, the next chapter will display the analytical findings of the case study and the survey in relation to the first overarching research question.

5 Which Preparation and Planning Activities are Undertaken to Conduct a Complex Business Negotiation (RQ1)

The previous chapter has introduced the context of the company, the sales stage process and the specific context of the case study. The next three chapters present and discuss the findings in relation to the question of which preparation and planning activities are undertaken to conduct a complex business negotiation. This broad question is examined through three research questions, developed through the literature review, which include: (1) Which activities are conducted, (2) Who undertakes the activities, and (3) when do the team activities occur.

It has been found that negotiators' preparation is generally consistent with the prescriptions in the literature but there are some activities that have been recommended that negotiators do not do while others are conducted less often than expected. Furthermore, negotiators often conducted Formulation activities from their own perspective, rather than from the other side's perspective, and more negotiators conducted distributive activities compared to those who conducted integrative activities.

Research question one – which activities are conducted - will primarily draw on data from the open-ended survey, with occasional comparisons to the findings from the case study when applicable. Research question two about “who” also draws on the data from the survey and uses the observational data to compare team activities from both sources. The final research question about “when” uses the observational data from the case study exclusively in order to test the propositions which concern the temporal dimension of NPP.

The NPP activity model has been developed as a result of the literature review and has served as the data collecting device for the data from the open-ended survey and from the observations made, as described in the methods chapter.

This specific chapter covers the first of the three research questions asked. For the purposes of ease and readability, this and the subsequent two chapters will begin with a presentation of the findings in relation to the propositions which is followed by a discussion of these and other findings. The final section will summarize the findings uncovered and will provide a discussion thereof.

5.1 Which activities are conducted – Findings

This section will answer the first research question (i.e. which preparation and planning activities are conducted). Hence, the section presents survey respondent data on activities cited as having been conducted, that is, those activities that the respondents said they undertook. These responses have been analysed in relation to the findings concerning the propositions developed during the literature review.

Each proposition can be identified by its category number, which begins with the letter A, for activity proposition. For example (see Appendix B, page 286, for an overview of the propositions in full length):

A.2.2: Option NPP activities will commonly be conducted by the negotiators.

A.2.4: Goals NPP activities will commonly be conducted by the negotiators.

To develop a broader understanding of the dual concern orientation of the NPP activities, two additional propositions were developed (D for dual concern):

D.1: Negotiators engage in fewer NPP formulation activities from the other side's perspective than their own.

D.2: Negotiators engage in fewer integrative than distributive NPP activities.

The section has three subchapters which covers the activity propositions, proposition D.1 and proposition D.2.

This research question will primarily draw on data from the open-ended survey (survey questions Q1', Q2', and Q3)', making occasional comparisons to the findings from the case study, where applicable. An activity will only count as being commonly conducted if 10 (15%) or more respondents have reported the activity as having been conducted.

The data will either support or reject the activity and dual concern propositions, thereby demonstrating that the advice given in the literature, captured in the checklist developed as part of the literature review, is adopted by the negotiators.

5.1.1 Which category activities are commonly conducted – Findings (Activity propositions).

Eighteen propositions emerged from the literature review to suggest what preparation and planning activities would be cited as being commonly conducted by the respondents. Of the 18 categories, five were not expected to commonly occur. By way of introduction to this section, the findings have been summarized in Table 15. In total, 11 of the 18 propositions were supported and 10 of the categories were commonly conducted.

All eight propositions from the Information Gathering and Formulation themes were supported, six of which count as being commonly conducted. However, the results for the last three themes are more mixed. Setting-the-Table was commonly cited as being conducted in one of the

three categories. Surprisingly, however, How to Negotiate and What to Negotiate were not commonly cited as being conducted activities. Two out of three Integrative Strategy and Tactics categories were not commonly conducted and only one of the propositions was supported. In the final theme, Distributive Strategy and Tactics, two of the four categories were commonly conducted and only one of the propositions was supported. The findings from each of the themes will be presented in more detail in the five sections which follow.

Table 15. Commonly Conducted Themes and Categories (all levels) – Activity Propositions and Open-Ended Survey Results.

Activity Category:	Support from literature	Which category activities are commonly conducted Activity Propositions	Commonly cited in Survey	No. of respondents citing the activity (Q1', Q2', Q3')
1. Information Gathering	100%		Yes	45
1.1. Environmental Context	50%	No	No	4
1.2. Nature of Interaction	100%	No	No	0
1.3. Negotiation Context	100%	Yes	Yes	30
1.4. The Other Party	100%	Yes	Yes	34
2. Formulation	100%		Yes	56
2.1. Issues, Interests, Positions and Priorities	100%	Yes	Yes	41
2.2. Options	100%	Yes	Yes	20
2.3. Reservation Points	100%	Yes	Yes	35
2.4. Goals	100%	Yes	Yes	25
3. Setting-the-Table	100%		Yes	37
3.1. How to Negotiate	100%	Yes	No	6
3.2. How to Organize the Team	100%	Yes	Yes	32
3.3. What to Negotiate - Agenda	100%	Yes	No	7
4. Integrative Strategy and Tactics	100%			16
4.1. Understand the Underlying Interests and Needs	100%	Yes	No	2
4.2. Generate Integrative Solutions	88%	No	Yes	13
4.3. Legitimacy	88%	No	No	1
5. Distributive Strategy and Tactics	100%		Yes	22
5.1. Reservation Points and Goals	75%	Yes	No	4
5.2. Positions and Concessions	100%	Yes	Yes	10
5.3. Develop Arguments and Counterarguments	75%	No	Yes	12
5.4. Hard-Bargaining Tactics	63%	Yes	No	3

Note: Supported propositions are highlighted in green. Refuted propositions are highlighted in red.

5.1.1.1 Information gathering.

The Environmental Context (M1.1) and Nature of the Interaction (M1.2) were not expected to commonly occur as part of the NPP. On the other hand, the two remaining categories, The Negotiation Context (M1.3) and The Other Party (M1.4) were expected to commonly occur. All propositions were supported; this theme is the second largest in the model in terms of respondents (45 respondents, 66% of sample) and the two categories conducted are both among the five most conducted categories. Of the fifteen subcategories, two qualify as being conducted by the negotiators, as summarized in Table 16.

Table 16. Information Gathering Theme Activities – Support from Literature, Activity Propositions and Open-Ended Survey Results.

Activity Category:	Support from literature	Which category activities are commonly conducted Activity Propositions	Commonly cited in Survey	No. of respondents citing the activity (Q1', Q2', Q3')
1. Information Gathering	100%		Yes	45
1.1. Environmental Context	50%	No	No	4
1.1.1. Economic	50%			1
1.1.2. Political	38%			2
1.1.3. Institutional-legal	38%			3
1.1.4. Cultural	63%			1
1.2. Nature of Interaction	100%	No	No	0
1.2.1. Negotiation Nature	100%			0
1.2.2. Industry Conventions and Norms	75%			0
1.3. Negotiation Context	100%	Yes	Yes	30
1.3.1. Scope of the Negotiation	50%			9
1.3.2. Future Relationship	50%			2
1.3.3. Linkage and Precedence	50%			6
1.3.4. Competitive Alternatives	50%		Yes	12
1.3.5. Resources and constraints	50%			4
1.3.6. Own Constituents	50%			5
1.4. The Other Party	100%	Yes	Yes	34
1.4.1. Understand the Customer Organization	75%		Yes	31
1.4.2. Understand the Negotiation Team	100%			7
1.4.3. Understand the Individual Negotiators	100%			9

Note: Supported propositions are highlighted in green.

Activities in Scope of the Negotiation (M1.3.1; 9 respondents) are primarily linked to understanding the technical, contractual, and financial aspects of the project from both perspectives, as summarized in the quote below:

Understand project details and peculiarities as regards permitting, energy production, financing (P64, Q1)

The same respondent explains further:

Internal tool in order to analyze and understand the financial parameters of the project (i.e. IRR, NPV, etc.) as well as understand the competition in order to prepare attractive solutions for the customer. (P64, Q11)

The Competitive Alternatives subcategory (M1.3.4; 12 respondents) is concerned with understanding the customer's alternatives for any given project and not the alternative for the seller. The reason for the high number of respondents stems from the use of an internal tool to compare the quantitative factors of a competitive offering, in terms of ROI or IRR, from the customer's perspective which provides an insight into the competitive situation and is demonstrated by the quotations below:

Comparing competitors' offers and also finding the market price. (P17, Q11)

Yes, calculation, in order to compare the model you offer with the models offered by the others competitors. (P69, Q11)

The felt necessity to Understand the Customer Organization (M1.4.1; 31 respondents) includes understanding the decision-making criteria and the process of the buyer organization, in addition to knowing their culture, constituents, and financial health. Understanding the Customer

Organization also includes the joint history of the parties and is the subcategory within the theme with the most respondents.

The typical activities, cited by the respondents, provide insights into the common history between the companies which can include reading correspondences, minutes of meetings, personal notes, and other documentation. In addition, respondents refer to reading prior agreements and information concerning project's antecedents.

Activities concerning the necessity to Understand the Negotiation Team (M1.4.2; 7 respondents) are cited as understanding the negotiation team, their negotiation style and behavior, their shared perception of the company and of the competitors, and their intra-team relationship. The example below exemplifies some of the respondents' considerations:

What is the relationship between the customer's team members? Which one will be attentive to our concerns? Which one will be the most likely to defend his position, even though it lacks rationality. (P33, Q1)

Understand the Individual Negotiators (M1.4.3; 9 respondents) is concerned with the negotiators and their constituents away-from-the-table, which includes their interests, needs, priorities, preferences, culture, negotiation styles, and other influential conditions. An example is given below, which was coded both as M1.4.3 and M1.4.2 as the customer here can be understood as an individual and as part of the team:

Understand the customer behavior. Very important in order to be in control of the negotiation and anticipate customer reactions. (P5, Q2)

In this theme we find a high co-occurrence between Negotiation Context (M1.3) and The Other Party (M1.4), which is due in part to the related concepts of Linkage and Precedence (M1.3.3) and the need to Understand the Customer Organization (M1.4.1).

5.1.1.2 Formulation.

This theme is the largest of the four themes and had 56 respondents (82%). All four categories, and all nine subcategories of this theme, have 15% or more respondent participation and are, therefore, considered as having been commonly conducted; this supports all four of the category propositions (see Table 17).

The Formulation theme builds upon the knowledge acquired in the Information Gathering theme and contains four categories: (1) Issues to be deliberated including the underlying Interests, Positions, and the Priorities, (2) Options or alternatives within the negotiation, (3) Reservation Points, and (4) Goal setting. All of the sources recommend conducting the formulation activities from a dual concern perspective, firstly by understanding one's own perspective and secondly by understanding the perspective of the other party (not shown in Table 17, see Appendix F, page 294 for a full table).

Given the large number of respondent citing, this theme's findings within every category will be discussed under individual subsections.

Table 17. Formulation Theme Activities – Support from Literature, Activity Propositions and Open-Ended Survey Results.

Activity Category:	Support from literature	Which category activities are commonly conducted Activity Propositions	Commonly cited in Survey	No. of respondents citing the activity (Q1', Q2', Q3')
2. Formulation	100%		Yes	56
2.1. Issues, Interests, Positions and Priorities	100%	Yes	Yes	41
2.1.1. Issues and interests	100%		Yes	34
2.1.2. Positions	88%		Yes	16
2.1.3. Priorities	100%			8
2.2. Options	100%	Yes	Yes	20
2.2.1. Options - Issues	88%		Yes	11
2.2.2. Options - Deal	88%		Yes	13
2.3. Reservation Points	100%	Yes	Yes	35
2.3.1. RP - Issues	100%		Yes	28
2.3.2. RP - Deal	100%		Yes	22
2.4. Goals	100%	Yes	Yes	25
2.4.1. Goals - Issues	100%		Yes	19
2.4.2. Goals - Deal	100%		Yes	22

Note: Supported propositions are highlighted in green.

Issues, interests, positions, and priorities.

Interests are considered to be the needs, desires, and fears that drive our negotiations and which are different from positions, which are the demands and offers a party makes during a negotiation. The issue is the matter that is in dispute between the parties (Brett, 2007), which is also referred to as the negotiation topic or negotiation subject. Once the Issues, Interests, Positions, and Priorities of both parties have been uncovered then the next category of this theme, Option generation (M2.2), can take place. This category is the largest in the whole dataset with 41 respondents (60%).

From Table 17 we learn that knowing the Issues and Interests is considered by 34 of the respondents (50%), making this subcategory the largest in the dataset. Positions are reported by 24% and Priorities 12% of the sample. Interestingly we find, in the case of Issues and Interests and Positions, that respondents consider the customer's position more than their own position. On the

other hand, only one respondent reported the Priorities of the other party, compared to seven others reporting their own priorities.

Furthermore, the statement below from a legal respondent demonstrates, from the respondent's perspective at least, the essence of the value in understanding the interests of the other party:

Whenever we are able to ask the customer the concern behind his request, it always opens up a range of possible solutions, different from his request that may be acceptable to us. (P3, Q9)

Options.

Options are alternative solutions that may generate agreement between the parties and they embody possible alternatives to both buyer and the seller at-the-table (Lax & Sebenius, 1986). The option category is divided into issue options and deal options because several alternatives may exist for any given negotiation issue.

The category has 20 respondents (29%). The pattern observed in the previous category, with more quotations being related to the customer than to the seller, is reversed for this category. The number of respondents reporting on the Customer Option Issue is especially low (2) and is, consequently, not considered as being frequently conducted by the negotiators.

The quotation below is an example of why one respondent considered Option development to be a valuable NPP activity.

The option development is the best part of the preparation. It enables us to propose inventive possibilities to the customer that will really answer their need and it will help us to be seen as being easy-to-work-with. (P21, Q9)

Reservation points.

The Reservation points (RP), also called resistance points, walk away prices, ground conditions, limits, etc., is the quantification of the negotiator's BATNA and specifies what the BATNA represents, with respect to other alternatives (Raiffa, 1982; Thompson, 2009; Walton & McKersie, 1965). The Reservation Points, as well as Options, was found to operate on two levels: the deal level and the issue level.

Reservation Points is the second largest category in the theme and in the whole dataset with 35 (51%) respondents.

Looking at the issues versus deal dimension we find reports from 28 and 22 respondents respectively. Furthermore, we see that customer and seller reports are made by a comparable amount of respondents (16 vs. 10) in relation to the Deal RP, but this balance does not exist in relation to the Issues RP. Under Issue RP, we see only 10 respondents reporting on the customer's perspective and 23 on the seller's perspective. Looking into the quotations, coded under issue RP from the seller's perspective, most are related to issue deal-breakers defined by internal guidelines and mandates given by top management to the negotiation team, when conditions beyond the guidelines are required in order to win a specific a project.

Reservation Points has a high co-occurrence ratio with the Negotiation Context category (M1.3) as 10 of the 16 respondents mention the customers deal reservation point related to the offering by a competitor. These reports are, hence, coded as both Customer RP Deal (M2.3.2.1) and Competitive Alternatives (M1.3.4).

Goal setting.

As with RP, Goal setting was found to operate on two levels: the deal level and the issue level. Goal setting, although it is part of an iterative process, ideally takes place when the information has been gathered and issues, interests, priorities, and options have been developed (Tasa et al., 2013).

The Goals is the third largest category in terms of respondents (25) and respondents are equally distributed between issue (19) and deal goals (22). The co-occurrence between deal and issue goals is 16, which indicates that most respondents conducting goal activities do so by both looking at the deal and the individual issue. Respondents are predominantly self-concerned (Issue: 15 vs. 8; Deal: 21 vs. 8).

Conclusion on Formulation.

In summary, the formulation theme is the largest in the model, boasting 56 respondents (82%) and all propositions have been supported. All four categories, and all nine subcategories count in the model, as do 16 of the 18 lower categories (underlying activities, e.g. Priorities - Seller M2.1.3.2), the exceptions being Priorities - Customer (M2.1.3.1) and Option – Issues – Customer (M2.2.1.1).

5.1.1.3 Setting-the-Table: the process.

Only one of the three category propositions found support in the data (Table 18). How to Organize the Team (M3.2) yields a considerable number of respondents in support of the proposition (32), which makes this category the fourth largest in the dataset. The remaining two subcategories have low numbers of respondents, to such an extent that How to Negotiate (M3.1)

only has six respondents and What to Negotiate (M3.1.3) only seven respondents. Proposition A.3.1 and A.3.3 are not upheld, in contradiction to the expectations developed as a result of the literature review and participant observation in the company. The three categories will be presented sequentially.

Table 18. Setting-the-Table Theme Activities – Support from Literature, Activity Propositions and Open-Ended Survey Results.

Activity Category:	Support from literature	Which category activities are commonly conducted Activity Propositions	Commonly cited in Survey	No. of respondents citing the activity (Q1', Q2', Q3')
3. Setting-the-Table	100%		Yes	37
3.1. How to Negotiate	100%	Yes	No	6
3.1.1. Logistical Concerns	100%			2
3.1.2. Participants	38%			0
3.1.3. Procedural and Ground Rules	75%			1
3.1.4. Role-Play and Rehearsal	63%			3
3.2. How to Organize the Team	100%	Yes	Yes	32
3.2.1. Size and Composition of the Team	100%			2
3.2.2. Roles and Responsibilities of the Team Members	100%		Yes	17
3.2.3. Alignment of the Team	50%		Yes	20
3.3. What to Negotiate - Agenda	100%	Yes	No	7

Note: Supported propositions are highlighted in green. Refuted propositions are highlighted in red.











Two groups of activities stand out as having the most comments, and they can be found within the How to Organize the Team subcategory; namely, Roles and Responsibilities of the team members (M3.2.2; 17 respondents) and Team alignment (M3.2.3; 20 respondents) both of which are included in the example below by a service negotiator:

Make sure we have the same objectives, and we know the objective of our customer. Decide together on what is acceptable and what is not. Decide who will talk about what, who will lead the negotiation - dispatching the roles within the negotiation team members is really key in the preparation. (P7, Q3)

5.1.1.4 Integrative strategy and tactics.

Integrative tactics, or value creating tactics, typically address the underlying interests of one or both parties and contribute to the development of integrative deals (Pruitt, 1981). These tactics are, generally, effective when negotiators value issues differently and provide negotiators with the opportunity to exchange concessions on less important issues in order to achieve gains on more important issues.

Table 19. Integrative Theme Activities – Support from Literature, Activity Propositions and Open-Ended Survey Results.

Activity Category:	Support from literature	Which category activities are commonly conducted	Commonly cited in Survey	No. of respondents citing the activity (Q1', Q2', Q3')
4. Integrative Strategy and Tactics	100%			 16
4.1. Understand the Underlying Interests and Needs	100%	Yes	No	 2
4.1.1. Ask Questions about I & P	100%			 1
4.1.2. Share Information about I & P	75%			 1
4.1.3. Unbundle Issues	75%			 0
4.2. Generate Integrative Solutions	88%	No	Yes	 13
4.2.1. Methods for Achieving Integrative Agreements	75%		Yes	 10
4.2.2. Multiple Equivalent Simultaneous Offers	75%			 6
4.2.3. Using Differences to Create Integrative Agreement	63%			 3
4.3. Legitimacy	88%	No	No	 1

Note: Supported propositions are highlighted in green. Refuted propositions are highlighted in red.

This theme is the one with the lowest number of respondents (16). Understanding the underlying interests and needs was the only category expected to be stated by the respondents. The remaining two categories, Generate Integrative Solutions, and Legitimacy were not expected to be mentioned, at least according to the propositions. The results shown in Table 19, tell us that only one proposition was upheld as Understand the Underlying Interests and Needs was only mentioned by two respondents and Generate Integrative Solutions was offered by 13 respondents. The majority (10) of these were related to trading issues – logrolling – which is also the integrative tactic that has

been mostly studied in experimental negotiation research (Pruitt, 2011). The quotation below is an example of how a respondent prepares for logrolling.

...What is our opening position, what are the compromises we can accept and what are we prepared to give away in order to get something back? (P59, Q3)

5.1.1.5 Distributive strategies and tactics.

Distributive tactics are applied to achieve unilateral concessions from the other party (Pruitt, 1981) and to maximally distribute the resources generated in one's own favour (Lax & Sebenius, 1986). Distributive tactics are used when the unavoidable distribution of resources, the claiming of the value, takes place (Thompson 2009).

Table 20. Distributive Theme Activities – Support from Literature, Activity Propositions and Open-Ended Survey Results.

Activity Category:	Support from literature	Which category activities are commonly conducted Activity Propositions	Commonly cited in Survey	No. of respondents citing the activity (Q1', Q2', Q3')
5. Distributive Strategy and Tactics	100%		Yes	22
5.1. Reservation Points and Goals	75%	Yes	No	4
5.1.1. Validate of the Other Party's RPs and Goals	63%			0
5.1.2. Influence the Other Party's Impression of Own RPs and Goals	50%			4
5.1.3. Influence the Other Party's Perception of his or her Own RPs and Goals	50%			0
5.2. Positions and Concessions	100%	Yes	Yes	10
5.2.1. Opening Offer and Responses to Other Party's Opening Offer	88%			7
5.2.2. Concession Plan	75%			3
5.2.3. Closing Tactics	38%			0
5.3. Develop Arguments and Counterarguments	75%	No	Yes	12
5.4. Hard-Bargaining Tactics	63%	Yes	No	3
5.4.1. Understand and Detect	50%			0
5.4.2. If and How to Apply Hard Ball	50%			3
5.4.3. Defence	50%			0

Note: Supported propositions are highlighted in green. Refuted propositions are highlighted in red.

This theme is the smallest after Integrative Strategies and Tactics (22 respondents) and consists of four categories: (1) Reservation Point and Goals, (2) Positions and Concessions, (3) Develop Arguments and Counterarguments, and (4) Hard-Bargaining Tactics. Only Positions and

Concessions (M5.2) and Develop Argument and Counterarguments (M5.3) qualify as being commonly performed by the negotiators, given the reports from 10 and 12 respondents respectively. The propositions visualized in Table 20, show that three of the four categories were expected to be commonly cited by the respondents. The results from the same table show that three of the four propositions were actually refuted as Reservations Point and Goals and Hard-Bargaining Tactics did not meet the criteria to be considered as being commonly cited. On the other hand, Develop Arguments and Counterarguments has 12 citing respondent, making it commonly cited contrary to the expectations. Positions and Concessions was anticipated to be commonly cited and 10 respondents did cite the activity, enough to support the proposition. Seven of these respondents cited the activity Opening Offer (M5.2.1).

5.1.2 Negotiators do engage in fewer NPP formulation activities from the other side's perspective than their own – Findings (D.1 proposition).

Proposition D.1 states that negotiators engage in fewer NPP formulation activities from the other side's perspective than from their own. Under of the Formulation categories, in the previous sections, findings in relation to customer's and seller's perspective were presented category by category. To test this proposition, the total number of cited formulation activities from the customer's and seller's perspective were counted to assess the validity of the proposition (i.e. activities coded under all four formulation categories).

The total number of respondents mentioning seller's perspective in the formulation category was found to be 51; respondents mentioning the customer's perspective were counted to be 41. These figures support the proposition as 60% of the respondents engaged in activities from the customer's perspective and 75% did so from the seller's perspective.

The number of respondents mentioning both the seller's and customer's perspective were 36; this means that 15 respondents only mentioned the seller's perspective and did not consider the customer's perspective. On the other hand, only five respondents mentioned the customer's perspective without mentioning their own perspective.

5.1.3 Negotiators do engage in fewer integrative than distributive NPP activities – Findings (D.2 proposition).

The total number of respondents who mention Integrative activities was found to be 16. The respondents who mention the Distributive activities were found to be higher (22) and which thereby support proposition D.2. Eight of the 16 respondents who mentioned integrative tactics also mentioned distributive tactics. Similarly, eight of the 22 respondents who mentioned distributive tactics also mentioned integrative tactics.

5.2 Which activities are conducted – Discussion

In view of this data on what actually occurs by way of preparation and planning for a major negotiation, what interpretations can be made about the recommendations of the research literature implementation by practitioners? This section aims to answer this question by discussing the findings presented in the previous sections, starting with the discussion in relation to the activities conducted in each of the themes, followed by a discussion of the dual concern findings – concern about both one's own perspective and the perspective of the other party – in the Formulation theme and another on the dual concern finding – concern about both one's own and other party's outcomes – in the Integrative and Distributive themes.

5.2.1 Which category activities are commonly conducted – Discussion (Activity propositions).

In this section each of the themes will be discussed in turn, following the same sequence as for the findings section.

5.2.1.1 Information Gathering.

All Information gathering propositions were supported by the findings, which meant that the Environmental Context category (M1.1) and its subcategory Culture (M1.1.4) was not found to be commonly cited. Despite the subject of culture being of interest within the field of negotiation, the argument brought forward in the literature review was that business negotiators in the company typically work within the same regional areas and are expected to be familiar with the cultural context and, therefore, do not need to make any specific preparations in that respect. Supporting this proposition, there is only one respondent who mentioned culture in the entire survey, but who did so in response to two questions:

...going through client characteristics and cultural/national specifics to be remembered during the negotiations. (P20, Q3)

They are inexperienced BUT Norwegian, remember they are a proud people, make sure they do not lose face, tell them how important they are and how honored we would be to work with them. (P20, Q9)

Crosschecking for the use of the term culture (and similar terms such as beliefs, values, country, and nation) did not generate any further relevant quotations. A deeper look into the company did confirm that, with few exceptions, the small countries or counties considered by and large hold a low potential for future business, the negotiators on the team negotiate in their own country of citizenship or in a country in which they have a deep cultural understanding. On the

other hand, according to internal documents, the buyers are becoming more globalized and the use of globally diverse negotiation teams is becoming more common, which may justify extra attention being paid to cultural issues by the seller. Similarly, other complex business negotiations which are conducted by smaller companies, but which may not have negotiators who are well versed in the cultural contexts, would do well to dedicate extra time to cultural preparation according to this proposition.

5.2.1.2 Formulation.

Under the category Issues, Interests, Positions and Priorities (M2.1) we find, in the case of Positions (M2.1.2), that more respondents consider the customer's position than they do their own position (14 vs. 8). While the interest in understanding the other side is understandable, it may still be perplexing that fewer people report on their own positions. A plausible reason, behind the high number of concerns for the other party's positions compared to their own, may simply be that these negotiators are deal makers who are constantly engaged in making similar deals and their own priorities have become implicit to them.

The low number of responses to Priorities in general, and to the Priorities of the other side specifically, suggest that negotiators are not adequately prepared to capitalize upon the differences and are, thereby, possibly entering into suboptimal agreements. This finding corroborates the claims made by various scholars that negotiators consistently leave money at-the-table (e.g. Bazerman & Neale, 1993).

Reservation Points were found to be the second largest category in the theme and in the whole dataset with 37 (54%) respondents. The high number is not surprising considering that the importance of understanding their own RP, and that of others, is underscored in both the research

literature (e.g. Blount-White et al., 1994; Thompson et al., 2010) as well as in the practitioner literature (e.g. Fisher & Ertel, 1995).

Within the Reservation points category (M2.3) the seller's perspective on the issues was cited 23 times and the customer's perspective 10 times. The specific quotations coded as seller's perspective, were mostly referring to deal-breakers and non-negotiable issues, which indicates a firm position from the seller. The company's approach to the issue of RP, with firm positions on issues in the form of deal-breakers and other non-negotiable issues, can be seen as an indication of an *item-per-item* approach to negotiation which tends to have a negative influence on the possibility of reaching integrative agreements as opposed to the more integrative approach (Lax & Sebenius, 1986; Froman & Cohen, 1970). This distributive behaviour corroborates the Options findings (10 from the seller's vs. 2 from the customer's perspective) and emphasizes opportunities for the company to reach more integrative agreements.

Due to the relationship between setting goals and outcomes in negotiations, mentioned previously, the Goal Setting category (M2.4) was expected not only to support the proposition but also to yield many respondents, which was not the case compared to the larger categories in this theme and in the dataset as a whole. Moreover, none of the respondents referred to how the setting or development of the goal should take place. This omission, coupled with the finding that goal activity was only observed once in the case study, may be an indication that in several cases the negotiators do not set goals as a team. One explanation for the absence of goal setting may be that negotiators consider the goal to be a given by confusing it with the mandate given by management which may induce a lower outcome for the seller (see also page 223). A second explanation might

be that negotiators see little reason to engage in this type of planning, as they often overestimate their ability to attain their goals (Neale & Bazerman, 1991).

Within the category of goal setting, we once more find that respondents are predominantly self-concerned (Issue: 15 vs. 8; Deal: 21 vs. 8), corroborating the distributive behaviour discussed previously.

5.2.1.3 Setting-the-Table: the process.

Although *How to Negotiate* and *What to Negotiate* enjoys full support from the authors selected for the literature review, other researchers such as Kolb and Williams (2001) have found evidence to suggest that executives ignore aspects concerning *How* and *What* to negotiate as a way to achieve the goals of the negotiation. The results show that *How to Negotiate* was only mentioned by six respondents and *What to Negotiate* by seven out of 68 respondents, which supports the findings of Kolb and Williams (2001). The reason for this low number of respondents may be attributed to procedural precedent in which negotiators simply follow the normal process used when they negotiate similar deals and maybe even with the same customers. The results may also indicate that the seller mostly leaves the process in the hands of the buyer, thereby giving an important source of power in the negotiation away (Watkins, 1999). Another reason for the few cited responses may be a result of the use of self-reported inquiry, which could make negotiators omit their negative experiences as a result of an illusory superiority bias (Hoorens, 1993) or the fading affect bias (Walker & Skowronski, 2009) and they, thereby, may not relate situations where a deadlock or impasse forced a change in the process (Harinck & De Dreu, 2004). This latter argument is supported by the findings in the case study where, contrary to the survey, *How to Negotiate* was the second most observed category with most observations following the reaching of

an impasse. This finding supports the arguments made above and suggests the importance of the combination of methods of inquiry to enhance the understanding of which NPP activities are conducted by the negotiators. What to Negotiate was, on the other hand, only observed five times during the case study which suggests that the seller is certainly not in control of this part of the process.

5.2.1.4 Integrative strategy and tactics.

We know that negotiators consider the Issues and the Interests of the customer (M2.1.1.1; 19 respondents) to be part of their preparation. Research has found that testing the assumptions made about the other party's interests and priorities will facilitate the discovery of integrative agreements (Thompson, 1991; Tutzauer & Roloff, 1988) which is typically arrived at through the use of questions (Bazerman & Neale, 1993; Pruitt & Rubin, 1986; Thompson, 1991). Consequently, one should expect negotiators to prepare which questions to ask when entering into the negotiation with the customer (M4.1.1). Still, only one survey participant planned to ask questions about interests and the priorities of the other side (and 4 observations in the case study). One explanation may be that negotiators consider their assumption, made earlier in the preparation as being valid and complete, possibly as a result of the overconfidence bias (e.g. Weinstein, 1980; Taylor & Brown, 1988), and see no need to prepare questions in order to test these. Another related explanation may be that negotiators simply do not consider this part of preparation, even though they ask questions during the customer negotiation. Whatever the reason, this finding suggests that negotiators would do well to follow the advice from all of the eight authors selected to consider preparing questions about the other side's interest and priorities as part of their NPP activities.

Unbundling (M4.1.3.) entails separating a single issue into more issues (Lax & Sebenius, 1986; Pruitt, 1981), thus increasing the possibility of creative trade-offs. Although widely recommended (Bazerman & Neale, 1993; Carnevale, 2006; Hopmann, 1996; Pruitt, 1981; Raiffa, 1982) unbundling does not seem to be part of the negotiators' preparation process as it was not cited in the survey nor was it observed in the case study. One possible explanation concerns again the experience of the negotiators meaning they are already aware of the ways to "cut and dice" any of the issues and have already incorporated any value creating propositions into their proposal. However, one might expect at least some explicit checking that they have, in fact, covered all of their bases.

The Generate Integrative Solutions category was not expected to be commonly cited by the respondents as these tactics require both skills and significant additional resources (Barry & Friedman, 1998). Still, 13 respondents cited this activity category, 10 of which referred to it as logrolling, under Methods for Achieving Integrative Agreements (M4.2.1). This finding indicates that the respondents are aware of the potential of trading on differences in order to reconcile interests, as recommended by six of the authors selected. It also show us that logrolling is the preferred integrative tactic by the negotiators as other tactics such as making Multiple Equivalent Offers Simultaneously (Bazerman & Neale, 1993; Medvec et al., 2005) was not mentioned by the negotiators nor were they observed during the case study.

Legitimacy (M4.3) is an integrative negotiation tactic which is concerned with the identification of objective criteria. Objective criteria are independent of the will of the negotiators on either side and enable the negotiators to choose solutions based on the principle of fairness or merit (Fisher et al., 1991). As expected this category was not commonly mentioned by the

respondents, even though they were recommended by seven out of the eight authors selected. Still, one respondent did show an example of how objective criteria can be used effectively in negotiation, as prescribed by the literature reviewed:

In one of the cases, the customer was very much insistent on equal distribution of the losses in case of Force Majeure. I have worked on it and searched for internal sources. There was no alternative available. Then I referred to FIDIC practice. I have a book on FIDIC implications showing the practice in more than 20 countries. I saw that in all countries' chapters, it was concluded that the risk belongs to the owner. I brought that book and told the customer that we would be fair and go for FIDIC solutions but even in there it was concluded as an Owner risk. I showed them the relevant passages therein. We ended up dropping that issue from the matrix as the customer did not have a chance to complain about our approach. (P36, Q4)

Knowing that negotiators failed to articulate this activity, which was also the case in the case study, suggests that seller negotiators are familiar with the objective criterion that may be used to justify their suggested solutions (and therefore need no preparation). Still, the persuasive legitimacy arguments may be further exploited for the benefit of both parties. Thus, an untapped dormant opportunity might be found here and the seller negotiators should consider including this activity in their future preparation and planning deeds.

5.2.1.5 Distributive strategy and tactics.

The Reservation Points and Goals category was expected to be commonly cited as preparation of distributive questions is a recommended activity expected in order to validate the other party's goals and RP and to influence their perception of both parties RP and goals (Malhotra & Bazerman, 2007; Hames, 2012; Lewicki et al., 2010). Still, the proposition was not supported as only four respondents mentioned this activity category. Similar results were found in the case study with only two observations of the activity. The distributive Reservation Points and Goals activities

are similar to the integrative Understand the underlying Interest and Needs as both categories rely on developing questions to better understand the other party, even though their underlying principles are very different. Therefore, the reasons for both categories not being commonly cited or observed may be of a similar nature; that is, as a result of seller negotiators being overconfident or unaware about the need for preparing this activities, as previously discussed in the section concerning the Integrative discussion section. Again, this finding suggests that negotiators would do well to follow the advice from the selected authors and to consider making preparations, to better understand and influence the other side's reservation points and goals, as part of their NPP activities.

Position and Concessions, together with Develop Argument and Counterarguments, were the only categories to be commonly cited by the respondents. The category was expected to be commonly cited, given the expectation that both parties make concessions from the initial positions (Deutsch, 1958; Lewicki et al., 2010; Rubin & Brown, 1975), but the subcategory Concession Plan (M5.2.2) was designed to capture preparation activities in relation concession making but only yielded three respondents. Similarly, Concession plan activities were only observed once during the case study. The reason for the apparent lack of attention being paid to developing a concession plan prior to the customer meeting may simply be that the negotiators do not get this far into the preparation with their busy schedules. Another plausible reason may be that the time required to conduct this complex activity is not considered worthwhile, compared to other more pressing possible activities. Overconfidence may again also partly explain why negotiators do not engage in this activity.

Opening Offer and responses to the other party's opening offer was found to be the second most cited Distributive Tactic, in support of the large and recent body of research on this activity (e.g. Galinsky & Mussweiler, 2001; Gunia et al., 2013; Sinaceur, Maddux, Vasiljevic, Nuckel, & Galinsky, 2013).

Develop Arguments and Counterarguments was the most cited Distributive tactic, refuting the proposition. A negotiator described the composition of this activity in the following way:

I try to brainstorm the type of questions that our customers are likely to raise, and then prepare approximate answers so that we are ready. (P62, Q1)

The proposition that respondents would not cite the activity was based on the argument, also put forward under the Legitimacy proposition (A4.3), that the seller negotiators may already believe that they know all the arguments and counterarguments and consequently do not invest time in this activity as part of the negotiation preparation. The findings corroborate the recommendations within the literature, endorsing persuasion and the underlying preparation and planning of arguments as the primary distributive negotiation strategy (Neale & Northcraft, 1991; Raiffa, 1982). No less than nine case study observations of this Distributive activity, making it the most used distributive tactic, further supporting the notion that negotiators do conduct this distributive activity.

Preparation and planning for Hard-Bargaining offensive and defensive Tactics (M5.4) was expected to commonly occur, as a result of the competitive market place at the time of the study when the industry was still struggling with significant surplus capacity (BNEF, 2014b). In contrast, the findings from the survey reveal that only three respondents mention this category, all three as offensive good cop-bad cop tactics. Compared to the results from the case study, we see a different picture in which Hard-Bargaining represent eight of 18 distributive observations, only one

observation less than Development arguments and counterarguments. One may attribute that the difference between the results and the case study, not being representative for the ongoing negotiations conducted by the negotiators of the company, supports the argument that comparison between the results would not be appropriate. As discussed in the method chapter, the negotiators are involved in multiple sales negotiations in parallel which involve the same recurring issues, which suggest that preparation activities for negotiations are likely to be similar from one negotiation to another. Furthermore, the customer belongs to the largest customer segment and has, like most customers do, a history with the company and with many other suppliers. These arguments speak in favour of the case studies being representative for the company. A more likely reason for the difference between the results of the survey and the case study may be the activity itself. Self-reporting on the use of tactics, that by some would be classified as unethical, may be especially affected by self-presentation concerns (e.g. Jones & Pittman, 1982) and social desirability (DeMaio, 1984; Nederhof, 1985; Thomas & Kilmann, 1975), which might explain the low number of respondents in the survey.

5.2.2 Negotiators do engage in fewer NPP formulation activities from the other side's perspective than their own – Discussion (D.1 proposition).

The proposition that negotiators engage in fewer NPP formulation activities from the other side's perspective than from their own was supported, as only 60% engaged in customer's perspective activities, compared to the 75% who did it from their own perspective.

Despite the emphasis on understanding the customers' perspective in both the academic (e.g. Thompson & Hastie, 1990a; Galinsky & Mussweiler, 2001) and practitioner's literature (e.g. Fisher & Ertel, 1995; Lempereur & Colson, 2010), the negotiators apparently tend to be more self-

concerned. This finding may be explained by the fixed-pie error (Thompson & Hastie, 1990b), making the negotiators assume that there is no possibility for mutually beneficial trade-offs as the other party is believed to have the same priorities as the self (Thompson & Hastie, 1990b). Valuable preparation time will, therefore, most likely be invested in preparing one's own perspective rather than that of the perspective of the customer (Fells, 2013). These findings support the findings by Rackham and Carlisle (1978), who found that both novice and skilled business negotiators spent more time preparing for areas of conflict than for areas of common ground.

The possible consequence that the apparent self-concerned preparation affects both the value creation and the value claiming potential for the seller, as not considering the other's viewpoint may restrict the discovery of integrative agreements (e.g. Thompson, 1991; Tutzauer & Roloff, 1988) and may limit the potential leverage in the distributive negotiation (Galinsky & Mussweiler, 2001; Neale & Bazerman, 1983).

5.2.3 Negotiators do engage in fewer integrative than distributive NPP activities – Discussion (D.2 proposition).

The proposition that negotiators engage in fewer integrative than distributive NPP activities was supported as only 16 respondents engaged in the preparation of integrative tactics, 6 fewer than those who engaged in distributive activities.

This finding may be explained by the differentiation-before-integration pattern suggested by Morley and Stephenson (1977), which may encourage the initial preparation and planning to be distributively oriented.

The consequence of not focusing on the Integrative tactics in the preparation enough may encourage competition over a fixed-pie and, thereby, will miss the opportunity to generate joint value (Mannix, Thompson, & Bazerman, 1989; Thompson & Hrebec, 1996).

Respondents using both integrative and distributive tactics were found to be half for the respondents using the integrative tactics (8 of 16) and less than half of the respondents using distributive tactics (8 of 22). By comparing this co-occurrence to the respondents mentioning Formulation activities from both the seller's and customer's perspective, we see both higher co-occurrence (36) and higher number of respondents (Seller's perspective: 51; Customer's perspective: 41).

The low co-occurrence between the negotiation tactics, compared to the Formulation activities and the higher Formulation numbers, suggests that negotiators do invest preparation time in understanding the other side even though this information may not be used to engage in integrative problem solving. Furthermore, of the 22 respondents who reported distributive activities, 15 also engage in understanding the customer activities under Formulation. One explanation for this may be that respondents consider the customer's viewpoint for egocentrically (self-centred) motivated reasons (Epley, Keysar, Van Boven, & Gilovich, 2004). A balance of attention to both self- and other is critical for facilitating creative problem solving in negotiations (Pruitt & Rubin, 1986) even though self-centred perspective-taking may increase the likelihood of increasing the individual outcomes (Epley, Caruso, & Bazerman, 2006; Neale & Bazerman, 1982).

5.3 Which activities are conducted: A summary of the findings and discussion for RQ1.

Data collected from the survey reveals that the negotiators tended to follow the key recommendations from the literature but also suggests that some preparation tasks are not conducted and others are conducted less often than expected.

More negotiators engaged in Formulation activities from their own perspective than from the other side's perspective. Similarly, more negotiators conducted Distributive than Integrative activities. The portion of negotiators who conducted Formulation activities or who conduct Formulation activities from both perspectives, were found to be significantly higher than the proportion of negotiators who conduct both Integrative and Distributive activities compared to the total group of respondents who cited either Integrative or Distributive activities.

The first of these findings, particularly that negotiators engage in fewer NPP Formulation activities from the other side's perspective than from one's own, may be explained by the fixed-pie error and has an effect on both the value creation and the value claiming potential for the seller. The second finding, that negotiators engage in fewer Integrative than Distributive NPP activities, may have a similar explanation and is a direct consequence of not focusing on the integrative tactics in the preparation enough which may encourage competition over a fixed-pie and will, thereby, miss the opportunity to generate joint value. This section's third finding, the low co-occurrence between the negotiation tactics compared to the formulation activities suggest that negotiators do invest preparation time in understanding the other side although this information may not be used to engage in integrative problem solving. A suggestion reinforced by the finding that more than two thirds of the respondents reporting distributive activities also engage in understanding the customer

activities under formulation. The reason may be that respondents are considering the customer's viewpoint for egocentrically (self-centred) motivated reasons, without any concern for the outcome of the other party.

Four of the categories expected to be mentioned by the respondents did not qualify as commonly conducted; two overall explanations were suggested. Firstly, the use of self-reported inquiry, which could make negotiators omit their negative experiences such as a deadlock or to not reveal possible unethical tactics, such as some Hard-Bargaining Tactics, were suggested as the reason for the few respondents in two categories. This is an argument corroborated by the high number of case study observations in these categories. Secondly, overconfidence in previous preparation and assumptions were proposed to explain why two categories were not cited by the number of respondents expected to do so.

A number of categories and subcategories yielded a lower number of respondents than expected, as for example Priorities, Goals, and Unbundling. The explanation offered varies, depending upon the activities; still, one explanation was suggested more generally. Negotiators are experienced and constantly conduct similar negotiations, which makes it likely that some activities (e.g. assessing own priorities) have become implicit to them and they already know how to conduct the negotiation. This explanation may be linked to the possible overconfidence, as in the case of goals setting, in which other researchers have found that negotiators often overestimate their ability to attain their goals. Another explanation affecting the latter themes especially is that the negotiators simply do not delve deeply enough into the preparation with their busy schedules. As a consequence, there are a series of activities not explored by the negotiators which may be an

untapped opportunity and that the seller negotiators could consider in order to improve their negotiation effectiveness.

This concludes the findings and discussion on which activities are conducted, and leads to the next obvious question – Who are conducting these activities?

6 Who undertakes the Preparation and Planning activities to Conduct a Complex Business Negotiation (RQ2)

The previous chapter studied *which* activities are conducted in preparation for a complex business negotiation. This chapter will consider *who* conducts these activities.

As before, all data in this chapter stems from the self-reported open-ended survey and comparisons between the survey findings and the observation findings are only made, concerning team activities, in order to look for consistency and deviations between the findings from the different methods of inquiry. To this end, three survey questions have sought to distinguish between activities which are conducted *without* or *with* the team.

First the findings will be presented, followed by a discussion of the findings in the subsequent sections.

6.1 Who undertakes the preparation and planning activities – Findings (Level propositions)

This exploration posed a general question that concerns the aspect of levels in negotiation preparation and planning; namely, “at which level – the team level or the without team level – are the activities usually conducted?” As a result, this section offers findings in relation to the level propositions and will follow the model structure developed during the literature review. In so doing, we will arrive at a deeper understanding of who conducts the different NPP activities, which has been described in the previous section.

Similar to the previous chapter, and as discussed in the methodology chapter, a minimum of 15% (10) of the respondents must report the activity under the three aforementioned survey questions in order for it to count as being commonly cited. Therefore, categories not commonly

cited are not discussed in this analysis. A category is considered to be *usually* conducted, with or without the team, when 50% or more of the total respondents in the given category cite it as with or without the team. Following Weiss (1993), using this definition an activity can usually be conducted both with and without the team.

Each proposition is identified by the letter L for level proposition and by its category which follows; for example (see Appendix B, page 286, for an overview of the propositions in full length):

L.3.1: How to Negotiate NPP activities will usually be conducted as team activities.

L.5.3: Develop Arguments and Counterarguments NPP activities, if conducted, will be conducted as team activities.

Level propositions were made for 15 of the 18 categories, 11 of which are expected to be cited as team activities. The remaining four, all within the first two themes, are expected to be cited as activities done without the team (Table 21). An analysis on the basis of the survey data will be conducted for 10 of the 18 categories, as a result of the low level of respondents in some categories.

By way of introduction, the findings have been summarized in Table 21. In total, of the 10 propositions tested, five were supported and five were not upheld.

Three of the five themes of the NPP model were found to be cited as conducted *without team* activities (activities conducted individually or in consultation with others not necessarily on the negotiation team, as opposed to activities conducted with the negotiation team specifically). Information gathering was expected to be usually conducted as a *without team activity* and both propositions within this theme were supported. On the other hand, Integrative and Distributive Strategy and Tactics, both predicted to be usually conducted as team activities, were found to be usually cited as without team activities (all three testable propositions were, thus, falsified).

Formulation activities were found to be cited as conducted both with and without the team, even though they were found to be usually done without the team in all four categories of activities. As a consequence, only two of the four propositions in this theme were supported. The hitherto unmentioned final theme, Setting-the-Table, was the only one found to have an activity that was usually cited as conducted only with the team.

Table 21. Level Analysis. Usually Cited Themes and Categories – Support from Literature, Level Propositions and Open-Ended Survey Results per Level and in Total.

Activity Category:	Support from literature	Who undertakes the preparation and planning activities Level Propositions	On which level usually cited	Percentage of total respondents citing without team activities (Q1' and Q2')	Percentage of total respondents citing team activities (Q3')	No. of respondents citing the activity (Q1', Q2', Q3')
1. Information Gathering	100%		Without team	96%	20%	45
1.1. Environmental Context	50%	N/A	N/A	75%	25%	4
1.2. Nature of Interaction	100%	N/A	N/A	0%	0%	0
1.3. Negotiation Context	100%	Without team	Without team	83%	23%	30
1.4. The Other Party	100%	Without team	Without team	94%	18%	34
2. Formulation	100%		Both	95%	61%	56
2.1. Issues, Interests, Positions and Priorities	100%	Without team	Without team	93%	46%	41
2.2. Options	100%	Team	Without team	70%	45%	20
2.3. Reservation Points	100%	Without team	Without team	91%	31%	35
2.4. Goals	100%	Team	Without team	96%	36%	25
3. Setting-the-Table	100%		Team	41%	92%	37
3.1. How to Negotiate	100%	Team	N/A	33%	67%	6
3.2. How to Organize the Team	100%	Team	Team	31%	97%	32
3.3. What to Negotiate - Agenda	100%	Team	N/A	57%	43%	7
4. Integrative Strategy and Tactics	100%		Without team	94%	31%	16
4.1. Understand the Underlying Interests and Needs	100%	Team	N/A	100%	0%	2
4.2. Generate Integrative Solutions	88%	Team	Without team	92%	38%	13
4.3. Legitimacy	88%	N/A	N/A	100%	0%	1
5. Distributive Strategy and Tactics	100%		Without team	64%	45%	22
5.1. Reservation Points and Goals	75%	Team	N/A	50%	50%	4
5.2. Positions and Concessions	100%	Team	Without team	70%	30%	10
5.3. Develop Arguments and Counterarguments	75%	Team	Without team	75%	42%	12
5.4. Hard-Bargaining Tactics	63%	Team	N/A	33%	100%	3

Note: Supported propositions are highlighted in green (have black text). Refuted propositions are highlighted in red (have white text). Usually conducted categories are highlighted in blue (have white text).

A presentation of the categories and relevant subcategories findings will now be made, prior to moving to the discussion of these findings in a subsequent section of the chapter.

6.1.1 Information gathering.

Most of the information gathering activities are cited as activities conducted individually or with other colleagues (96%) and so both propositions are supported. Only 20% of the respondents in this theme mentioned information gathering as team activities and none of the categories or subcategories are usually conducted as team activities.

The Negotiation Context (M1.3) is the category with the highest percentage of respondents citing team activities (23%); Understand the Negotiation Team (M1.4.2) and Understand the Individual Negotiators (M1.4.3) as team activities are cited by 43% and 44% respectively making them the subcategories with the highest team activity ratios in the theme (Table 22). Respondents in these subcategories report both undertaking them with and without the negotiation team, the primary difference being that the team activities are more related to sharing the information collected, while individual or with other colleagues activities are related to the gathering new information.

The largest subcategory in the theme, Competitive Alternatives (M1.3.4), has 92% of the respondents citing it as an activity done without the team. The quote below is representative of the activities cited within this subcategory, as most respondents refer to calculating the customer's scenario in order to compare the competitiveness:

Make some calculations with different competitors' scenarios: price, production, commercial conditions. (P65, Q1)

Table 22. Level Analysis. Information Gathering Theme Activities – Support from Literature, Level Propositions and Open-Ended Survey Results.

Activity Category:	Support from literature	Who undertakes the preparation and planning activities Level Propositions	On which level usually cited	Percentage of total respondents citing without team activities (Q1' and Q2')	Percentage of total respondents citing team activities (Q3')	No. of respondents citing the activity (Q1', Q2', Q3')
1. Information Gathering	100%		Without team	96%	20%	45
1.1. Environmental Context	50%	N/A	N/A	75%	25%	4
1.1.1. Economic	50%		N/A	100%	0%	1
1.1.2. Political	38%		N/A	100%	0%	2
1.1.3. Institutional-legal	38%		N/A	100%	0%	3
1.1.4. Cultural	63%		N/A	0%	100%	1
1.2. Nature of Interaction	100%	N/A	N/A	0%	0%	0
1.2.1. Negotiation Nature	100%		N/A	0%	0%	0
1.2.2. Industry Conventions and Norms	75%		N/A	0%	0%	0
1.3. Negotiation Context	100%	Without team	Without team	83%	23%	30
1.3.1. Scope of the Negotiation	50%		N/A	89%	33%	9
1.3.2. Future Relationship	50%		N/A	50%	50%	2
1.3.3. Linkage and Precedence	50%		N/A	100%	0%	6
1.3.4. Competitive Alternatives	50%		Without team	92%	8%	12
1.3.5. Resources and constraints	50%		N/A	50%	50%	4
1.3.6. Own Constituents	50%		N/A	80%	20%	5
1.4. The Other Party	100%	Without team	Without team	94%	18%	34
1.4.1. Understand the Customer Organization	75%		Without team	94%	13%	31
1.4.2. Understand the Negotiation Team	100%		N/A	86%	43%	7
1.4.3. Understand the Individual Negotiators	100%		N/A	78%	44%	9

Note: Supported propositions are highlighted in green (have black text). Usually conducted categories are highlighted in blue (have white text)

6.1.2 Formulation.

Like Information Gathering, Formulation has almost all respondents citing without team activities (95%), but this theme also has a relatively high proportion of respondents citing team activities, which makes the theme usually cited both for team and without team activities. Still, as shown in Table 23, activities are exclusively cited as usually without team activities in all categories and subcategories¹.

Four propositions were brought forward in this theme. Issues, Interests, Positions and Priorities (M2.1) and Reservation Points (M2.3) and were predicted to be usually cited as without team activities. In contract, Options (M2.2) and Goals (M2.4) were expected to be usually cited as

¹ A theme can have a respondent ratio of over 50%, even though the ratio is less than 50% for each category, due to computation to avoid double counting at the subcategory level (Friese, 2012)

team activities. As all categories were found to be usually cited as activities done without team, the findings only support two of the four propositions (Table 23).

Table 23. Level analysis. Formulation Theme Activities – Support from Literature, Level Propositions, and Open-Ended Survey Results.

Activity Category:	Support from literature	Who undertakes the preparation and planning activities	On which level usually cited	Percentage of total respondents citing without team activities (Q1' and Q2')	Percentage of total respondents citing team activities (Q3')	No. of respondents citing the activity (Q1', Q2', Q3')
2. Formulation	100%		Both	95%	61%	56
2.1. Issues, Interests, Positions and Priorities	100%	Without team	Without team	93%	46%	41
2.1.1. Issues and interests	100%		Without team	91%	38%	34
2.1.2. Positions	88%		Without team	88%	31%	16
2.1.3. Priorities	100%		N/A	75%	25%	8
2.2. Options	100%	Team	Without team	70%	45%	20
2.2.1. Options - Issues	88%		Without team	73%	36%	11
2.2.2. Options - Deal	88%		Without team	69%	46%	13
2.3. Reservation Points	100%	Without team	Without team	91%	31%	35
2.3.1. RP - Issues	100%		Without team	89%	39%	28
2.3.2. RP - Deal	100%		Without team	95%	18%	22
2.4. Goals	100%	Team	Without team	96%	36%	25
2.4.1. Goals - Issues	100%		Without team	79%	47%	19
2.4.2. Goals - Deal	100%		Without team	91%	32%	22

Note: Supported propositions are highlighted in green (have black text). Refuted propositions highlighted in red (have white text). Usually conducted categories are highlighted in blue (have white text).

6.1.3 Setting-the-table.

All three categories were expected to be usually cited as team activities. In line with the propositions, the theme as a whole is usually cited as conducted with team activities (92%), and How to Organize the Team (M3.2) is the category with the largest share of respondents citing team activities (97%), which support this proposition. In contrast, the small category, What to Negotiate – Agenda (M3.3), was usually cited as a without team activity, but did not qualify as being commonly cited as it only had seven respondents (Table 24).

Similarly, How to Negotiate (M3.1) did not qualify as commonly cited in the survey as discussed in the previous section (see page 203). This finding is in stark contrast to the findings from the case study where How to negotiate was the second most frequently observed category.

Table 24. Level Analysis. Setting-the-Table Theme Activities – Support from Literature, Level Propositions, and Open-Ended Survey Results.

Activity Category:	Support from literature	Who undertakes the preparation and planning activities Level Propositions	On which level usually cited	Percentage of total respondents citing without team activities (Q1' and Q2')	Percentage of total respondents citing team activities (Q3')	No. of respondents citing the activity (Q1', Q2', Q3')
3. Setting-the-Table	100%		Team	41%	92%	37
3.1. How to Negotiate	100%	Team	N/A	33%	67%	6
3.1.1. Logistical Concerns	100%		N/A	0%	100%	2
3.1.2. Participants	38%		N/A	0%	0%	0
3.1.3. Procedural and Ground Rules	75%		N/A	0%	100%	1
3.1.4. Role-Play and Rehearsal	63%		N/A	67%	33%	3
3.2. How to Organize the Team	100%	Team	Team	31%	97%	32
3.2.1. Size and Composition of the Team	100%		N/A	0%	100%	2
3.2.2. Roles and Responsibilities of the Team Members	100%		Team	35%	88%	17
3.2.3. Alignment of the Team	50%		Team	20%	95%	20
3.3. What to Negotiate - Agenda	100%	Team	N/A	57%	43%	7

Note: Supported propositions are highlighted in green (have black text). Refuted propositions are highlighted in red (have white text). Usually conducted categories are highlighted in blue (have white text).

6.1.4 Integrative strategy and tactics.

Contrary to the previous theme, activities in this category are all cited as individual or with other colleagues' activities (without team) and only 36% of the respondents also cite these activities as team activities. Only one of the three categories had the sufficient numbers of respondents to be considered commonly conducted. Generate Integrative Solutions (M4.2) was expected to be cited as a team activity, the results of the survey show that 92% of respondents cited the activity as a without team activity and only 38% cited it as a team activity. The proposition was, hence, not supported as shown in Table 25.

Table 25. Level Analysis. Integrative Theme Activities – Support from Literature, Level Propositions, and Open-Ended Survey Results.

Activity Category:	Support from literature	Who undertakes the preparation and planning activities Level Propositions	On which level usually cited	Percentage of total respondents citing without team activities (Q1' and Q2')	Percentage of total respondents citing team activities (Q3')	No. of respondents citing the activity (Q1', Q2', Q3')
4. Integrative Strategy and Tactics	100%		Without team	94%	31%	16
4.1. Understand the Underlying Interests and Needs	100%	Team	N/A	100%	0%	2
4.1.1. Ask Questions about I & P	100%		N/A	100%	0%	1
4.1.2. Share Information about I & P	75%		N/A	100%	0%	1
4.1.3. Unbundle Issues	75%		N/A	0%	0%	0
4.2. Generate Integrative Solutions	88%	Team	Without team	92%	38%	13
4.2.1. Methods for Achieving Integrative Agreements	75%		Both	80%	50%	10
4.2.2. Multiple Equivalent Simultaneous Offers	75%		N/A	67%	33%	6
4.2.3. Using Differences to Create Integrative Agreement	63%		N/A	100%	0%	3
4.3. Legitimacy	88%	N/A	N/A	100%	0%	1

Note: Refuted propositions are highlighted in red (have white text). Usually conducted categories are highlighted in blue (have white text).

6.1.5 Distributive strategy and tactics.

Like the previous theme, all propositions in the Distributive Strategy and Tactics theme stated that preparation and planning activities will usually be conducted as team activities. The two testable propositions were both falsified, as Positions and Concessions (M5.2) and Develop Arguments and Counterarguments (M5.3) were found to be usually cited as conducted individually or with other colleagues (without the team) (Table 26).

Table 26. Level Analysis. Distributive Theme Activities – Support from Literature, Level Propositions, and Open-Ended Survey Results.

Activity Category:	Support from literature	Who undertakes the preparation and planning activities Level Propositions	On which level usually cited	Percentage of total respondents citing without team activities (Q1' and Q2')	Percentage of total respondents citing team activities (Q3')	No. of respondents citing the activity (Q1', Q2', Q3')
5. Distributive Strategy and Tactics	100%		Without team	64%	45%	22
5.1. Reservation Points and Goals	75%	Team	N/A	50%	50%	4
5.1.1. Validate the Other Party's RPs and Goals	63%		N/A	0%	0%	0
5.1.2. Influence the Other Party's Impression of Own RPs and Goals	50%		N/A	50%	75%	4
5.1.3. Influence the Other Party's Perception of his or her Own RPs and Goals	50%		N/A	0%	0%	0
5.2. Positions and Concessions	100%	Team	Without team	70%	30%	10
5.2.1. Opening Offer and Responses to Other Party's Opening Offer	88%		N/A	86%	29%	7
5.2.2. Concession Plan	75%		N/A	100%	5%	3
5.2.3. Closing Tactics	38%		N/A	0%	0%	0
5.3. Develop Arguments and Counterarguments	75%	Team	Without team	67%	42%	12
5.4. Hard-Bargaining Tactics	63%	Team	N/A	33%	100%	3
5.4.1. Understand and Detect	50%		N/A	0%	0%	0
5.4.2. If and How to Apply Hard Ball	50%		N/A	33%	100%	3
5.4.3. Defence	50%		N/A	0%	0%	0

Note: Refuted propositions are highlighted in red (have white text). Usually conducted categories are highlighted in blue (have white text).

6.2 Who undertakes the preparation and planning activities – Discussion (Level propositions).

Having finalized the presentation of the findings, this section will discuss the findings and suggest possible explanations for the results discovered. The order will follow the structure of the previous section.

6.2.1 Information gathering.

The results of the information gathering corresponds to expectations, given that information gathering is a theme propitious for individual preparation (Peterson & Lucas, 2001). The two related subcategories, Understand the Negotiation Team (M1.4.2) and Understand the Individual Negotiator (M1.4.3), however, diverge from this pattern by having a higher rate of team activities than those seen in the other subcategories of the theme. In support of this finding, the same subcategories were the most frequently observed subcategories in the case study within the information gathering theme, with nine and five observations respectively. One explanation for this phenomenon may be that no single individual knows all of the customer stakeholders, which makes collaboration necessary. The other examples of information gathering team activities relate to information sharing in the negotiation team.

6.2.2 Formulation.

It was expected that the negotiators would research and prepare the Issues, Interests, Positions and Priorities (M2.1) and their Reservations Points (M2.3) individually and then come together as a team to review and understand the underlying interests and priorities for all the stakeholders and develop Options (M2.2). It was envisaged that the team's combined insights would be necessary for option development task to be undertaken appropriately. However, all

formulation categories and subcategories were cited as usually being conducted individually. The findings did not confirm the proposition that Option development would be a team activity, but instead was one that was undertaken both individually and in the team. The data showed that only 45% of the respondents cited it as a team activity, while 70% cited it as a without team activity. The results of the case study show that Option development was logged in eight observations, which shows that this activity is conducted as a team activity. This all suggests that Option development is conducted as an activity both with and without the team.

Goal setting activities (M2.4) were mentioned as usually conducted individually or with other colleagues (96%) and only 36% included goal setting as a team activity. This finding is contrary to expectations which were built upon the assumption that development of negotiation goals would be a team activity as participative goal setting is expected to be related to higher performance (Breaugh & Klimoski, 1977; Erez et al., 1985; Pruitt, 1981; Rabbie & Huygen, 1974). Moreover, the subcategories covering the customer's perspective, under both Reservation Points and Goals (M2.3.1.1, M2.3.2.1, M2.4.1.1, M2.4.2.1), almost exclusively show that these activities are cited as being conducted as activities without the team. This surprising result may be an indication that the company is not exploiting, to the fullest extent possible, the potential benefits of developing goals collectively and corroborates, with observations within the company, that goal setting is not taking place as a team activity, but rather as a mandate from management. Furthermore, again drawing upon the findings in the previous chapter, the fact that no respondent actually explained how to set the goal for a negotiation further supports the indication suggested above. Indeed, the impression can be gained that negotiators, given the constraints of time and of their mandates, worked individually rather than collectively, perhaps to the detriment of the ensuing

negotiation. This implication was also mentioned by some of the respondents, as in the statement below:

The company does not give enough value to NPP and, therefore, does not take the time to resource properly. It is difficult to prioritise over the management of the "hard" requirements of the deal execution. The result is we don't have the confidence in our positions are, therefore, easily exploited by the customer and probably end up with worse positions than we could. (P58, Q8)

Generally, negotiators appear to prepare more fully on their own than was anticipated, as all four propositions expected to usually occur as without team activities were supported. In contrast, there is a clear tendency that team activities occur less usually than expected, as only one of the six testable propositions were supported. This may be a result of the survey design in which two questions probe without team activities and only one question concerns team activities. A more plausible explanation still could be that activities that are ideally conducted as team activities are not done so as a result of the limited available time for NPP (Peterson & Lucas 2001; Watkins, 1999) which forces a separation of tasks between the team members. Another reason for the less than expected team activities may be a result of the difficulty in scheduling meetings in today's business world of packed work calendars (Janicik & Bartel, 2003). This situation may be aggravated if one of the team members (e.g. the legal representative) is permanently under time constraints, which could result in voluntary tasks such as negotiation preparation and planning (in the company under study) as opposed to mandatory tasks not being prioritized.

6.2.3 Setting-the-table.

How to Negotiate (M3.1) had unexpectedly few respondents, in contrast to the case study in which it was the second most observed category, which supports the proposition that How to

negotiate is usually conducted as a team activity. The possible reasons for the low number of respondents is (as previously discussed on page 203) that in all likelihood respondents do not consider situations in which impasses might occur when answering the survey.

In the case of the category How to Organize the Team (M3.2), it is no surprise that many respondents report them to be team activities, given the use of team-on-team negotiations in the industry (see page 203).

6.2.4 Integrative strategy and tactics.

Only one of the three level propositions for this theme could be tested as a result of the few respondents commenting on Integrative activities. Generate Integrative Solutions (M4.2) was found to be usually conducted without the team, falsifying the proposition. The same category was found to be the most observed integrative category in the case study.

As a result of time pressures, and the complexity of this activity, the negotiators were not expected to commonly conduct activities within this category (Proposition A4.2). This proposition was refuted, however, as 13 respondents cited Generate Integrative Solution activities. Still, time pressure is probably the reason why the negotiators conduct this activity without the team, rather than with the team as expected. Not having the team participating in the generation of integrative options may lead to lower joint outcomes (Backhaus et al., 2008). As has been alluded to earlier, this lack of teamwork in preparation is unexpected, being contrary to the general proposition that group activity is preferable because it yields better outcomes.

6.2.5 Distributive strategy and tactics.

All four categories in the final theme of the NPP model were expected to be usually conducted as team activities, however the low number of responses made it difficult to reach firm conclusions.

Positions and Concessions (M5.2) was usually cited as being done without the team (70%) and only with the team for 30% of the respondents. The results from the case study only registered one observation of activities in the category, which suggest that teams do not conduct this kind of activity to any great extent. Not developing positions and concessions, may lead to a more contending negotiation style during the negotiation and finally to lower joint outcomes (Backhaus et al., 2008).

Develop Arguments and Counterarguments (M5.3) was, like Positions and Concessions, found to be usually cited as conducted without the team. This category also yielded the highest number of case study observations of all the categories among the integrative and distributive themes, which suggests that negotiators do develop Arguments and Counterarguments not only individually but also with the team, as argued in the proposition.

Hard-Bargaining Tactics (M5.4), the last category in the model, was expected to be conducted as a team activity. Only three survey respondents mention this category which makes it inappropriate for analysis. The possible reasons for the low number of respondents, such as self-presentation and social desirability, are discussed on page 206. In contrast, the results from the case study show that Hard-Bargaining has eight distributive observations, making it the second most numerous category within the Integrative and Distributive themes. This finding suggests that Hard-Bargaining Tactics are conducted as team activities.

It would seem that the negotiators develop their approach to the positions, arguments, and possible concessions individually, but decide upon the hard-bargaining tactics they will employ collectively.

6.3 On which level are the activities conducted: A summary of the findings and discussion for RQ2.

Three of the five themes of the NPP model were found to be usually cited as conducted as *without team* activities (activities conducted individually or with others, as opposed to activities conducted with the negotiation team). These themes were Information Gathering, as expected, as well as Integrative and Distributive Strategies and Tactics, which were against expectations. Setting-the-Table according to expectations, was found to be usually conducted by the team and Formulation activities were found to be both usually conducted with and without the team. Of the ten testable categories, the survey results show that nine are usually cited as having been conducted as without the team activities and only one as with the team.

These results show there is a clear tendency that negotiators prepare individually and that team activities occur less than was expected, examples being goal setting and working out positions and concessions. The explanation for this might be that activities that should ideally be conducted as team activities are not done, as a result of the limited time available time for NPP and the difficulty of getting all the team members to attend at the same time. Nevertheless, the findings do show an approach to preparation for negotiation that may not reap the full benefits of collaborative activity between the negotiators with potential consequences for the negotiations themselves. By not exploiting the potential benefits of participative decision making, particularly in developing

goals and devising a concession plan, the negotiators may be leaving money at-the-table and in the hands of the customer.

Although there is a dominance of activities conducted without the team, these findings also show that activities are conducted both without the team and with the team to some extent. This is less pronounced in the Information Gathering theme with only 20% of the respondents citing the activities as team activities. Similarly, only 31% of the respondents in the Integrative Strategy and Tactics theme cite these activities as team activities. On the other hand, the remaining three themes have 41% or more respondents citing activities as both without and with team activities (Table 21). Consequently, one can conclude that rather than operating with two categories (with and without the team) that a third category, with *and* without the team, should be considered.

It is now time to move into the temporal dimension for the research questions by presenting the discussion on when different PP activities occur within the process. The chapter which follows advances the discussion into the temporal dimension.

7 When do Preparation and Planning Activities Occur in Teams. And What Else do Negotiators do to Prepare and Plan (RQ3).

The previous chapter has examined *who* conducted the NPP activities; this one considers *when* the NPP activities occur when the negotiating team comes together. In order to complete our exploration of how negotiators prepare, this chapter will also present three other important aspects of negotiation that were found to occur and which had not been previously identified in the literature review.

Data has been drawn from the case study negotiation thus far, described in chapter 4. It will be recalled that this negotiation concerns a multinational and multilingual negotiation over the sale of a triple digit million Euro power generation plant including transport, installation, start-up, and a full scope service agreement, which involved 19 rounds of meetings and which took place over a 13 month period. Following a brief review of the methodology, the next section of the chapter will present the findings for the each of the propositions. A discussion of the findings will follow in a section further on and, finally, the findings which were not anticipated in the literature review are discussed.

7.1 When do preparation and planning team activities occur – Findings

This section will follow the structure of the propositions developed during the literature review. The research posed a general question about the temporal aspect of preparation, namely, “When in the process are the different team activities expected to occur?” This general question was made more specific by establishing propositions in relation to each different category. An activity is envisaged as not occurring at all; as occurring in the initial phase of the negotiation; after a distributive phase; after an impasse

or as being ongoing throughout the negotiation. In the case study negotiation, the initial phase was the first three rounds of meetings and was classified as being distributive. The second phase originated after an impasse and addressed the open issues over the course of nine meeting rounds. Three negotiation rounds constituted the partial agreement phase, which ended with an agreement between the parties, and opened the fourth and final phase, the three party negotiation phase (Figure 8). The first three phases were observed in their entirety and will, consequently, constitute the primary focus of the phase segmentation analysis.

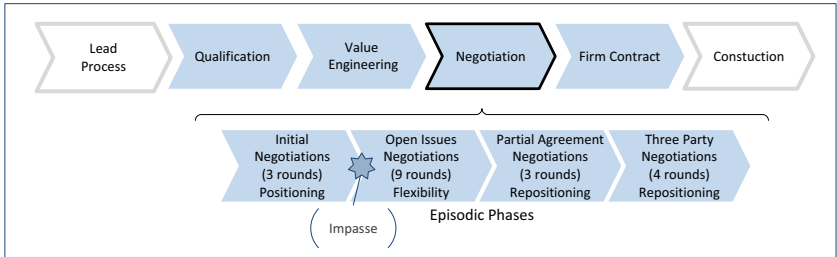


Figure 8: Episodic Phases within the Sales Process of the Company
 Note: The star symbolizes an impasse

An activity can be classed as either *primary* in one phase or *ongoing* in two or more phases, as mentioned in the methods chapter. An activity is *primary* in a phase when 50% or more of the activities observed for that category take place within that phase. An activity is *ongoing* when 10%, or more, and less than 50% of the activities observed of that category occur in two or more phases.

Each proposition is identified by its category number after T, which stands for temporal proposition. For example (see Appendix B, page 286, for an overview of the propositions in full length):

T.1.3: Negotiation Context activities will primarily be conducted in the initial phase of the negotiation.

T.1.4: The Other Party activities take place on an ongoing basis from start to finish.

To provide a broader understanding of the dynamics of the NPP activities as the negotiation unfolded, three further propositions were made. The first is the simple proposition that more NPP activities will occur in the early phase of the negotiation; the two remaining propositions draw on the distinction between distributive and integrative phases of negotiations which reflects the view that if negotiations are first distributive, and then integrative, the emphasis in preparation will shift accordingly (F for frequency).

F.1: Preparation and planning team activities will be conducted with a higher frequency in the initial phase of the negotiation than compared to the later ones.

F.2.a: Distributive team preparation and planning activities will dominate in the initial phase of the negotiation.

F.2.b: Integrative team preparation and planning activities will dominate in the later phases.

7.1.1 When in the process are the team activities expected to occur (Temporal propositions).

Eighteen propositions were brought forward in the literature review to suggest when preparation and planning activities would be expected to occur. Of these activities, three were not expected to occur at all (Table 27). In order to avoid discussing non-evidential data this section will only look at categories with eight or more observations across the four phases of the negotiation, as described in the methods chapter. As a result, only nine of the 18 categories will be examined. Of the nine categories with less than eight observations,

three were not expected to take place (Environmental Context, Nature of Interaction, and Legitimacy).

Three of the five preparation and planning themes did not have a primary phase (relative frequency equal to or higher than 50%) but were, instead, found to take place on an ongoing basis. Integrative Strategy and Tactics occurred throughout the first three, as did Information Gathering and Setting-the-Table across all four. Formulation and Distributive Strategies and Tactics both had the Initial phase as their primary phase. Within these five themes, the nine category activities (where there was sufficient data upon which to base a conclusion) occurred in different ways. In six cases they occurred exactly as predicted, but not so for the three others. As expected, most preparation and planning activity occurred in the Initial phase of the negotiation but some aspects were ongoing and one category (How to Negotiate) occurred primarily after an impasse which occurred at the end of the initial phase and initiated the Open Issues phase of the negotiation (Figure 8, page 232).

One interesting finding to emerge from the analysis of when the negotiators prepared was the insight yielded into how long they took. The data shows that the average pre- or post-negotiation meeting was only 21 minutes long with the maximum being 58 minutes. This was despite the fact that some negotiation sessions lasted up to 8 hours.

Table 27. When in the process will the activities primarily occur in teams. Temporal Propositions, Case Study Results, Total Observations, and Normalized Relative Frequency Across Phases.

Activity Category:	Support from literature	Which category activities are commonly conducted	Who undertakes the preparation and planning activities	Observation: Total no. of observed occasions of the activity	Initial negotiations (3 rounds)	Initial Relative frequency	Open issues negotiations (9 rounds)	Open issues Relative frequency	Partial agreement negotiations (3 rounds)	Partial Agreement Relative frequency	Three party negotiations (4 rounds)	Three party Relative frequency
1. Information Gathering	100%	Activity/Propositions	Level Propositions	29	7	27%	12	30%	6	20%	4	23%
1.1. Environmental Context	50%	No	N/A	0	0	0%	0	0%	0	0%	0	0%
1.2. Nature of Interaction	100%	No	N/A	0	0	0%	0	0%	0	0%	0	0%
1.3. Negotiation Context	100%	Yes	Without team	13	3	25%	4	22%	4	29%	2	24%
1.4. The Other Party	100%	Yes	Without team	17	5	33%	8	35%	2	12%	2	20%
2. Formulation	100%			38	21	61%	12	23%	3	8%	2	9%
2.1. Issues, Interests, Positions and Priorities	100%	Yes	Without team	20	11	58%	6	21%	1	5%	2	16%
2.2. Options	100%	Yes	Team	8	5	72%	3	26%	0	0%	0	0%
2.3. Reservation Points	100%	Yes	Without team	11	7	71%	3	20%	1	9%	0	0%
2.4. Goals	100%	Yes	Team	1	0	0%	0	0%	1	100%	0	0%
3. Setting-the-Table	100%			35	9	31%	20	46%	4	12%	2	10%
3.1. How to Negotiate	100%	Yes	Team	17	2	16%	12	63%	3	21%	0	0%
3.2. How to Organize the Team	100%	Yes	Team	13	6	51%	5	28%	1	8%	1	13%
3.3. What to Negotiate - Agenda	100%	Yes	Team	5	1	22%	3	44%	0	0%	1	33%
4. Integrative Strategy and Tactics	100%			9	2	27%	4	36%	3	37%	0	0%
4.1. Understand the Underlying Interests and Needs	100%	Yes	Team	4	2	56%	1	19%	1	25%	0	0%
4.2. Generate Integrative Solutions	88%	No	Team	5	0	0%	3	53%	2	47%	0	0%
4.3. Legitimacy	88%	No	N/A	0	0	0%	0	0%	0	0%	0	0%
5. Distributive Strategy and Tactics	100%			18	8	50%	6	25%	3	17%	1	9%
5.1. Reservation Points and Goals	75%	Yes	Team	2	0	0%	2	100%	0	0%	0	0%
5.2. Positions and Concessions	100%	Yes	Team	1	0	0%	0	0%	1	100%	0	0%
5.3. Develop Arguments and Counterarguments	75%	No	Team	9	5	57%	2	15%	1	10%	1	17%
5.4. Hard-Bargaining Tactics	63%	Yes	Team	8	3	46%	4	41%	1	14%	0	0%
ALL THEMES				115	43	43%	47	31%	15	13%	9	13%
Observed time planning and preparing (h:min:ss)				100%	23%	23%	35%	35%	36%	26%	16%	16%
Observed time planning and preparing (h:min:ss)				12:23:00	2:53:00	2:53:00	4:20:30	4:20:30	3:13:30	3:13:30	1:56:00	1:56:00

Note: Categories with no temporal proposition are termed N/A. Supported propositions are highlighted in green. Refuted propositions are highlighted in red. Categories with less than eight observations are termed N/A.

7.1.1.1 Information gathering.

Two propositions were put forward in relation to when the Information Gathering categories would take place in the process. Negotiation Context was discussed on an ongoing basis so proposition T.1.3, which states that activities would primarily take place initially, is not supported. The Other Party activities were discussed throughout the process, as predicted (proposition T.1.4 supported). Within this category, a discussion of the subcategory of Understanding the Negotiation Team occurred mostly (eight instances out of nine) following the Initial phase. Partial Agreement is the negotiation phase with the lowest share of discussion about the Other Party (12%); discussion was highest (35%) in the Open Issues phase. For a full presentation detailed overview of the findings, see Table 28 on page 240.

7.1.1.2 Formulation.

Propositions were made for three of the four categories within the formulation theme. Discussion about Issues, Interests, Positions and Priorities and over Goals were predicted to yield observations in the Initial phase primarily. This was found to be the case with 58% of the observations occurring in the Initial phase. The subcategory of Positions (M2.1.2) was the most observed in the Initial phase with five observations and only one observation in the remaining activities.

Discussions about Options was forecasted to take place on an ongoing basis (proposition T.2.2) but were found to take place only in the first two phases, with 72% of the observations in the Initial phase. Hence, this proposition was not supported. However, there were shifts of emphasis within the negotiators' discussions about Options. They discussed the Deal, in preparation for the initial meetings, but the focus shifted to the

Issues during the Open issues phase. As expected, the negotiators discussed their reservation points (71%; 7 observations) in the Initial phase and 20% (3 observations) in the Open Issues phase, thereby confirming proposition T.2.3. For a full presentation of the findings please see Table 28 on page 240.

7.1.1.3 Setting-the-table: the process.

Propositions were put forward for all three categories in this theme. Discussions about How to Negotiate and What to Negotiate were both expected to take place as a response to an impasse (i.e. in the open issues phase) and How to Organize the Team was expected to take place in the initial phase. What to Negotiate had five observations.

How to Negotiate had 63% (12) of the observations in the Open Issues phase and which began after the observed impasse, which makes this the primary phase for this activity, as expected. The activities observed following the impasse are predominantly the Participants (M3.1.2), with six of eight observations, and the Procedural and Ground Rules (M3.1.3) with all five observations.

How to Organize the Team had a relative frequency of 51% in the Initial phase, thereby confirming proposition T.3.2. Five of the six activities accounting for the high relative frequency stem from the activities related to the Alignment of the Team. The Open Issue phase had the second highest relative frequency, with 28%, equally driven by team alignment activities and discussions of Roles and Responsibilities of the Team Members, which was not the case in the Initial phase.

The results show that process activities, captured through the Setting-the-Table theme, are ongoing in all four phases. Activities mostly take place after an impasse (46%)

and, to a lesser degree, in the initial phase (31%). This theme is by far the largest theme within the Open Issues phase, with 20 observations (The second largest is Formulation and Information Gathering with 12 observations). For a full presentation of the findings Table 29.

7.1.1.4 Integrative.

It was proposed that discussion about an integrative approach in the negotiation would occur in the Initial phase and/or after an impasse. However, the incidence of each of the three categories within this theme is too small to make a meaningful test of the propositions. The nine observations for the theme as a whole are almost evenly distributed over the first three phases with two, four, and three observations respectively. The integrative activities are, hence, ongoing throughout the three phases. With 37% relative frequency in the partial agreement phase, this is the phase with the largest proportion of integrative activities. The Integrative category has the largest amount of observations (5) is Generate Integrative Solutions, with three observations in the Open Issues phase and two in the Partial Agreement phase. For a full presentation of the findings Table 29.

7.1.1.5 Distributive.

It was proposed that all four categories within the Distributive Strategy and Tactics theme would occur initially. The Distributive theme has exactly twice the amount of observations as the Integrative theme (18), yet only two of the four categories had the necessary number of observations to be discussed here: Develop Arguments and Counterarguments and Hard-Bargaining Tactics.

Develop Arguments and Counterarguments was the largest distributive category, with nine observations and its relative frequency was 57% in the Initial phase, supporting the proposition. However, Hard-Bargaining was expected to take place primarily in the Initial phase of the negotiation but in fact discussions on Hard-Bargaining took place in all of the first three phases (46%, 41%, 14% respectively), meaning that proposition T5.4 (that they would occur in the Initial phase) is not supported.

The distributive theme has observations in all four phases and has 50% relative frequency in the Initial phase. For a full presentation of the findings Table 29.

Table 28. When in the process will the activities primarily occur in teams – Detailed View of the Information Gathering and Formulation Themes. (Categories 1.1 and 1.2 excluded.)

Activity Category:	Support from literature	When in the process will the activities primarily occur in teams	When will team activities occur	Observation: Total no. of observed occasions of the activity	Initial negotiations (3 rounds)	Initial Relative frequency	Open issues negotiations (9 rounds)	Open Issues frequency	Partial agreement negotiations (3 rounds)	Partial Agreement Relative frequency	Three Party Relative frequency
1. Information Gathering	100%										
1.1. Negotiation Context	100%	Initially	Ongoing	29	7	27%	12	30%	6	20%	23%
1.3.1. Scope of the Negotiation	50%		Ongoing	13	3	25%	4	22%	4	29%	2
1.3.2. Future Relationship	50%			0	0	0%	0	0%	0	0%	0
1.3.3. Litigation and Precedence	50%			2	1	60%	1	40%	0	0%	0
1.3.4. Competitive Alternatives	50%			4	1	21%	0	0%	1	18%	2
1.3.5. Resources and constraints	50%			4	0	0%	2	43%	2	57%	0
1.3.6. Own Constituents	50%			4	0	0%	0	0%	1	100%	0
1.4. The Other Party	100%	Ongoing	Ongoing	17	5	33%	8	35%	2	12%	2
1.4.1. Understand the Customer Organization	75%			4	3	62%	1	18%	0	0%	0
1.4.2. Understand the Negotiation Team	100%			9	1	12%	5	41%	1	11%	2
1.4.3. Understand the Individual Negotiators	100%			5	1	21%	2	28%	1	19%	1
2. Formulation	100%		Initially	38	21	61%	12	23%	3	8%	2
2.1. Issues, Interests, Positions and Priorities	100%	Initially	Initially	20	11	58%	6	21%	1	5%	2
2.1.1. Issues and Interests	100%			8	4	58%	3	29%	1	13%	0
2.1.2. Positions	88%			6	5	88%	1	12%	0	0%	0
2.1.3. Priorities	100%			6	2	32%	2	21%	0	0%	2
2.2. Options	88%	Ongoing	Initially	8	5	72%	3	28%	0	0%	0
2.2.1. Options - Issues	88%			4	1	33%	3	67%	0	0%	0
2.2.2. Options - Deal	88%			4	4	100%	0	0%	0	0%	0
2.3. Reservation Points	100%	Initially	Initially	11	7	71%	3	20%	1	9%	0
2.3.1. RP - Issues	100%			7	3	51%	3	34%	1	15%	0
2.3.2. RP - Deal	100%			5	5	100%	0	0%	0	0%	0
2.4. Goals	100%	Initially	N/A	1	0	0%	0	0%	1	100%	0
2.4.1. Goals - Issues	100%			0	0	0%	0	0%	0	0%	0
2.4.2. Goals - Deal	100%			0	0	0%	0	0%	0	0%	0
Observed time planning and preparing [% of total]				100%	23%	23%	35%	35%	26%	26%	16%
Observed time planning and preparing [h:mm:ss]				12:23:00	2:53:00	2:53:00	4:20:30	4:20:30	3:13:30	3:13:30	1:56:00

Note: Categories with no temporal proposition are termed N/A. Supported propositions are highlighted in green. Refuted propositions are highlighted in red. Categories with less than eight observations are termed N/A.

Table 29. When in the process will the activities primarily occur in teams – Detailed View of the Setting-the-Table, Integrative, and Distributive Strategy and Tactics Themes.

Activity Category: Setting-the-Table	Support from literature	When in the process will the activities primarily occur in teams Temporal propositions	When will team activities occur Findings	Observation: Total no. of observed occasions of the activity	Initial negotiations (3 rounds)	Initial Relative frequency (3 rounds)	Open issues negotiations (3 rounds)	Open Issues negotiation frequency (3 rounds)	Partial agreement negotiations (3 rounds)	Partial Agreement Relative frequency (4 rounds)	Three Party Relative frequency (4 rounds)
3.1. How to Negotiate	100%	After Impasse	Ongoing	17	2	31%	12	62%	3	21%	0
3.1.1. Logical Concerns	100%	After Impasse	Ongoing	17	2	31%	12	62%	3	21%	0
3.1.2. Participants	38%			8	1	23%	6	15%	2	31%	0
3.1.3. Procedural and Ground Rules	75%			5	0	0%	5	100%	0	0%	0
3.1.4. Role-Play and Rehearsal	63%		Initially	2	1	60%	1	40%	0	0%	0
3.2. How to Organize the Team	100%		Initially	13	6	51%	5	28%	1	8%	1
3.2.1. Size and Composition of the Team	100%		Initially	1	1	100%	0	0%	0	0%	0
3.2.2. Roles and Responsibilities of the Team Members	100%			3	0	0%	2	60%	0	40%	0
3.2.3. Alignment of the Team	50%			10	5	55%	4	29%	1	0%	1
3.3. What to Negotiate - Agenda	100%	After Impasse	N/A	5	1	22%	3	44%	0	0%	1
4. Integrative Strategy and Tactics	100%		Ongoing 1, 2, 3	9	2	27%	4	36%	3	37%	0
4.1. Understand the Underlying Interests and Needs	100%	Initially	N/A	4	2	50%	1	19%	1	25%	0
4.1.1. Understand the Underlying Interests and Needs	100%	Initially	N/A	4	2	50%	1	19%	1	25%	0
4.1.2. Share Information about I & P	75%			0	0	0%	0	0%	0	0%	0
4.1.3. Unbundle Issues	75%			0	0	0%	0	0%	0	0%	0
4.2. Generate Integrative Solutions	88%	After distrib. phase	N/A	5	0	0%	3	53%	2	47%	0
4.2.1. Methods for Achieving Integrative Agreements	75%		Initially	1	0	0%	0	0%	1	100%	0
4.2.2. Multiple Equivalent Simultaneous Offers	75%			0	0	0%	0	0%	0	0%	0
4.2.3. Using Differences to Create Integrative Agreement	63%			1	0	0%	0	100%	0	0%	0
4.3. Legitimacy	88%	N/A	N/A	1	0	0%	0	0%	0	0%	0
5. Distributive Strategy and Tactics	75%		Initially	9	0	0%	0	25%	0	0%	0
5.1. Validate the Other Party's RPs and Goals	75%	Initially	N/A	2	0	0%	2	100%	0	0%	0
5.1.1. Validate the Other Party's RPs and Goals	63%			2	0	0%	2	100%	0	0%	0
5.1.2. Influence the Other Party's Perception of Own RPs and Goals	50%			0	0	0%	0	0%	0	0%	0
5.1.3. Influence the Other Party's Perception of his or her Own RPs and Goals	50%			0	0	0%	0	0%	0	0%	0
5.2. Positions and Concessions	100%	Initially	N/A	1	0	0%	0	0%	1	100%	0
5.2.1. Opening Offer and Responses to Other Party's Opening Offer	88%			0	0	0%	0	0%	0	0%	0
5.2.2. Concession Plan	75%		Initially	1	0	0%	0	0%	0	100%	0
5.2.3. Closing Tactics	38%			0	0	0%	0	0%	0	0%	0
5.3. Blame Tactics and Counterarguments	63%	Initially	Initially	9	3	33%	1	11%	1	11%	0
5.4. Hard Bargaining Tactics	63%	Initially	Ongoing 1, 2, 3	8	3	46%	4	41%	1	14%	0
5.4.1. Understand and Dissect	50%			2	0	0%	2	100%	0	0%	0
5.4.2. If and How to Apply Hard Ball	50%			1	0	0%	0	0%	1	100%	0
5.4.3. Defence	50%			5	3	60%	2	31%	0	0%	0
ALL THEMES				115	43	43%	47	31%	15	13%	9
Observed time planning and preparing [As of total]				100%	73%	73%	55%	42/30	26%	26%	16%
Observed time planning and preparing [thematics]				12/23/20	2/53/20	23/30	4/20/30	4/20/30	3/13/30	1/5/6/00	1/5/6/00

Note: Categories with no temporal proposition are termed N/A. Supported propositions are highlighted in green. Refuted propositions are highlighted in red. Categories with less than eight observations are termed N/A.

7.1.2 Preparation and planning activities are primarily conducted in the initial phase of the negotiation (Proposition F.1).

A second analysis of when preparation and planning activities occurs was conducted through testing the proposition F.1, that team preparation and planning activities would be conducted with a higher frequency in the Initial phase of the negotiation compared to the later ones. This proposition is supported as data from Table 27 shows (page 235) that most of the activities (43%) take place in the Initial phase, the Formulation and Distributive theme activities particularly. The Open Issues phase, which took place after an impasse, has the second highest relative frequency with 31%. The last two phases each claim only 13% of the activities, although the Partial Agreement phase is the phase with the highest relative frequency of Integrative activities. In summary, NPP takes place on an ongoing basis in all four phases but with a decreasing frequency.

Some team activities only take place in one phase, discussion about Seller Position (3 observations), Deal Options (4 observations) and Deal Resistance Points (5 observations) all occur in the Initial phase exclusively. These activities explain the high relative frequency of Formulation activities in the Initial phase (61%), as presented in the previous section.

The Distributive Strategy and Tactics theme was also found to have the team activities being primarily conducted in the Initial phase (50%), although the difference between the phases is less noticeable than in the case of Formulation activities. None of the Distributive activities are exclusively conducted initially and only one of the activities (Reservation Points and Goals) takes place exclusively in the Open Issue phase. Another example of a subcategory only observed in one phase is Procedural and Ground Rules, meaning that all five observations occurred in the Open Issues phase.

7.1.3 Distributive and integrative preparation and planning (Proposition F.2.a and F.2.b).

Whereas the previous sections (7.1.1.4 and 7.1.1.5) have presented separate findings, concerning when integrative and distributive preparation activities occurred, this analysis also explored the balance between the two as the preparations progressed. The proposition (F.2.a) is that Distributive preparations and planning activities dominate the initial phase of the negotiation, whereas the third proposition (F.2.b) suggests that Integrative preparations and planning activities will dominate in the later phases of the negotiation. These should be recognised as occurring within the overall decrease in the amount of NPP activities throughout the course of the negotiation, as demonstrated in the previous paragraphs.

To confirm or refute this proposition it is first necessary to compare the number of distributive and integrative activities within the same phase and not across phases as in the previous propositions. Therefore, the relative frequency will only be used to give cross-phase information, such as the percentage of category activities in this phase compared to the other phases.

From Table 30 we learn there are a total of nine Integrative and 18 Distributive preparation and planning activity occurrences in the case study. The Initial negotiation phase contains eight Distributive occurrences (50% of total Distributive occurrences); in contrast, only two Integrative activities were observed (27% of total Integrative occurrences) in the preparations for this phase of the negotiation. The pattern in the Open Issues phase is similar, although slightly less pronounced, with six Distributive and four Integrative occurrences. In the Partial Agreement phase both strategies have three occurrences making it the only phase without Distributive dominance. Consequently, the proposition F.2.a, that Distributive team preparations and planning activities will dominate in the initial phase of the negotiation, is supported. The relative frequency of discussion

over Integrative Strategies and Tactics increases but does not dominate it and so proposition F.2.b. is not supported.

Table 30. Distributive and Integrative Team PP Activities Across Episodic Phases.

Activity Category:	Support from literature	Total no. of observed occasions of the activity	Initial negotiations (3 rounds)	Initial Relative frequency	Open issues negotiations (9 rounds)	Open Issues Relative frequency	Partial agreement negotiations (3 rounds)	Partial Agreement Relative frequency	Three party (4 rounds)	Three Party Relative frequency
4. Integrative Strategy and Tactics	100%	9	2	27%	4	36%	3	37%	0	0%
4.1. Understand the Underlying Interests and Needs	100%	4	2	56%	1	19%	1	25%	0	0%
4.1.1. Ask Questions about I & P	100%	4	2	56%	1	19%	1	25%	0	0%
4.2. Generate Integrative Solutions	88%	5	0	0%	3	53%	2	47%	0	0%
4.2.1. Methods for Achieving Integrative Agreements	75%	1	0	0%	0	0%	1	100%	0	0%
4.2.3. Using Differences to Create Integrative Agreements	63%	1	0	0%	1	100%	0	0%	0	0%
5. Distributive Strategy and Tactics	100%	18	8	50%	6	25%	3	17%	1	9%
5.1. Reservation Points and Goals	75%	2	0	0%	2	100%	0	0%	0	0%
5.1.1. Validate the Other Party's RPs and Goals	63%	2	0	0%	2	100%	0	0%	0	0%
5.2. Positions and Concessions	100%	1	0	0%	0	0%	1	100%	0	0%
5.2.2. Concession Plan	75%	1	0	0%	0	0%	1	100%	0	0%
5.3. Develop Arguments and Counterarguments	75%	9	5	57%	2	15%	1	10%	1	17%
5.4. Hard-Bargaining Tactics	63%	8	3	46%	4	41%	1	14%	0	0%
5.4.1. Understand and Detect	50%	2	0	0%	2	100%	0	0%	0	0%
5.4.2. If and How to Apply Hard Ball	50%	1	0	0%	0	0%	1	100%	0	0%
5.4.3. Defence	50%	5	3	69%	2	31%	0	0%	0	0%
ALL THEMES		115	43	43%	47	31%	15	13%	9	13%
Observed time planning and preparing [% of total]	100%	23%	23%	35%	35%	26%	26%	16%	16%	
Observed time planning and preparing [hh:mm:ss]		12:23:00	2:53:00	2:53:00	4:20:30	4:20:30	3:13:30	3:13:30	1:56:00	1:56:00

Note: Categories and subcategories with no observations are excluded.

Other aspects of preparation also contribute to the development of Distributive or Integrative strategies and when these are also taken into consideration the relative importance (by frequency of discussion) of the integrative aspects of negotiation increases. A comparison of Formulation activities, concerned with one's own party (which reflect a distributive approach) to those that concern the other party (an integrative approach), show 15 instances of the former and only eight of the latter in the Initial phase, but that ratio is reversed (4 to 8) during the Open Issue phase. If we aggregate the observations from the Formulation theme, the Integrative, and the Distributive themes we find – as before – that the Initial negotiation phase is distributively dominated with 23 of 34 activities (68%) and that the Open Issue negotiation phase is nearly evenly distributed with 10 distributive and 12 integrative activities.

In conclusion, the findings confirm that preparation for the Initial negotiation phase is dominated by Distributive-related activities, and although increasing attention is given to Integrative-related activities, the distributive orientation remains.

7.2 When do preparation and planning activities occur - Discussion

The findings presented in the previous section will now be discussed in the same order. Three areas from the observations made about this preparation and planning negotiation process stand out from the analysis, as well as the findings in relation to the propositions, which will be discussed separately later in this chapter.

7.2.1 When in the process are the team activities expected to occur (Temporal propositions).

Contrary to expectations, the Information Gathering aspect of preparation continued throughout the negotiation. Most occurred in the initial phase but as the negotiations progressed two other aspects became important - Understand the Negotiation Team (M1.4.2; with eight of nine observations outside the Initial phase) and Resources and Constraints (M1.3.5; with all four observations outside the Initial phase). Both activities reflect the changing dynamics of complex negotiations. It appears that negotiators do not seek to understand the other negotiators until they have met and interacted with them; then, in the light of these early encounters, they engage in information gathering like, for example, understanding the competitive alternatives or individual negotiators on the other side. In addition, they need to prepare for new members on the customer's negotiation team and to deal with the introduction of any new constraints (e.g. deadlines) that emerge as the negotiations unfold. The implication of this finding is that negotiators should expect

and, therefore, allocate time for preparing the Information Gathering activities, not only in the initial phase of the negotiation but throughout the whole process.

The Formulation activity categories take place primarily in the Initial phase of the negotiation, which lends support to two of the three propositions. The separation of Issues and Deal activities within the Formulation theme yields an interesting pattern with all nine Deal activities (four under Options and five under Reservation Points) in the Initial phase. Although the number of observations is sparse, nine in total, this finding does suggest that the more holistic Deal Formulations activities take place exclusively initially, whereas the Issues activities are conducted throughout the process. If these findings can be proven right, the implication of this finding is that negotiators need to get the “big picture” parameters right (i.e. deal reservation point, overall goal, possible options with the party at-the-table), as they are likely to be anchored in their preparation and planning. In other words, the much researched anchoring effect in negotiation (e.g. Galinsky & Mussweiler, 2001) may also take place in negotiation preparation and planning.

The Setting-the-Table theme covers the activities which concern getting organised for a meeting and, unsurprisingly, occurs in the Initial phase but is more important in the Open phase after an impasse. This suggests that the observations made by researchers, such as Kolb and Williams (2001), Sebenius (1992), and Watkins (2006) is correct; that is, that negotiators don't really prepare process moves until the necessity to do so becomes salient, as in the case of an impasse. Negotiators would appear to presume that the forthcoming negotiation will unfold according to expectations but do not prepare for the process of “what if's”. The practical implication is, therefore, that while negotiators cannot plan for the entirely unexpected, they should

at least plan for “what happens if the negotiations reach an impasse?” and consider ways by which to alter the process in their favour (e.g. reframing).

The Distributive theme is primarily conducted in the initial phase (50%) and has been observed in the remaining three phases. This can be seen as a slight indication of the distributive – integrative pattern found in research by Olekalns et al., (2003), which will be discussed in detail on page 249.

7.2.2 Preparation and planning team activities are primarily conducted in the initial phase of the negotiation (Proposition F.1).

Preparation and planning team activities are primarily conducted in the initial phase of the negotiation, as well as in the remaining phases albeit with a decreasing frequency, supporting proposition F.1.

Some activities are only conducted in one phase, which is the case for several Formulation activities in the Initial phase (e.g. Seller position, Deal options, and RP Deal; 12 observations in total), and Setting-the-Table and a Distributive activity in the Open Issues phase (Procedural and Ground Rules and Reservation Points and Goals; 7 observations). These findings suggest that some activities will not be repeated once they have been done corroborating the argument, brought forward in the literature review, that some activities will not need repetition except where the composition of the negotiation teams changes. On the other hand, in some negotiations one could foresee that the same activities should be conducted more than once, for example where the negotiation scope is changed or if the seller’s position must be reviewed (e.g. scarce seller production capacity which may lead to a more radical position). Hence, not repeating these activities may jeopardize the negotiator’s ability to negotiate effectively. Therefore, it is most likely

in the interest of the negotiators to review the Setting-the-Table activities and other relevant activities throughout the negotiation process knowing there is a possible tendency to consider them done after they have been conducted once.

7.2.3 Distributive and integrative preparations and planning activities (Proposition F.2.a and F.2.b).

Distributive preparations and planning activities dominated in the Initial phase of the negotiation and proposition F.2.a was, hence, upheld in contrast to proposition F.2.b. Integrative team PP activities did not dominate the later phases of the negotiation as expected although increasing attention is given to Integrative-related activities resulting in a more blended preparation phase with a similar number of integrative and distributive activities.

Although both propositions were not supported, the findings do have theoretical implications as the first part of the proposition was indeed supported, which indicates that a correlation exists between team preparation and planning and the subsequent at-the-table negotiation behaviour. This finding could possibly open up new avenues of research by which to investigate the possible effects of preparation and planning orientation on the at-the-table negotiation behaviour.

Negotiators should be aware that the other party may in all likelihood initiate the negotiations with a distributive strategy (Morley & Stephenson, 1977; Olekalns et al., 2003) and this study suggests that the seller's initial preparation is likely to be distributively oriented. By knowing that a sustained distributive strategy may lead to an impasse, the negotiators should consider how to make a transition into integration in their NPP in order to identify new zones of

potential agreement, possibly by an alteration in the process as suggested by Olekalns et al. (2003) and observed in the Open Issue phase.

The finding that the negotiators continued to conduct distributive-related activities throughout the process suggests that pure integrative preparation does not exist in high stake negotiations. This may well suit the negotiators better as they will not only meet prosocial motivated counterparts, but also most probably negotiators with an egoistic social orientation who are motivated to maximize their own outcomes no or little concern for the outcomes of the other party (De Dreu et al., 2000).

7.2.4 When do preparation and planning activities occur: A summary of the discussion.

As expected, preparation and planning team activities were found to be primarily conducted in the Initial phase, but continued, with a decreasing frequency throughout the negotiation. The reason for the decreasing frequency is suggested to be a result of the negotiators tendency to consider activities done when conducted once, which most likely will jeopardize their ability to negotiate effectively.

Contrary to expectations, the information gathering aspect of preparation continued throughout the negotiation; some activities, the “big picture” parameters, were conducted initially while other aspects (e.g. Procedural and Ground Rules), it appears, became important only later and as a result of the changing dynamics of complex negotiations. These findings suggest that negotiators are likely to be anchored by their preparation and planning, making anchoring effects a subject whose importance it is necessary to consider, not only for the customer negotiation but also for the initial preparation and planning.

The process moves by the negotiators were found only to take place when dictated by an impasse and negotiators were not proactively considering any “what if scenarios” which is consistent with the findings of other researchers (e.g. Kolb & Williams, 2001).

Negotiators typically initiate their negotiations distributively. Similarly, this study found evidence to suggest that seller’s initial preparation is likely to be distributively oriented, which indicates that a correlation between team preparation and planning and the subsequent at-the-table negotiation behaviour. This would be a possible area for further research.

7.3 Negotiation process findings not covered in the literature review.

Three additional new aspects of preparation stand out from this study and will be described under the following headings: (1) Preparation and planning occurs straight after meetings as well as before, (2) Internal use of collaborative technology during customer negotiations, and (3) Management influence.

7.3.1 Post-preparation: Preparation occurs straight after meetings as well as before.

A quote from one of the meetings, held after a negotiation session, shows the importance given to post-preparation:

Bon! Moi je propose effectivement un mail one to one SLN CLN mais carrément ... c’est un avis à partager entre vous. Mais carrément fermé entre SLN et CLN en one-to-one comme ils savent faire tous les deux....Et peut-être il va finir par lâcher. Surtout au début du call où il dit à chaque fois c’est bon. (Head of Sales, post-meeting, document P105-45:11)¹

¹ English translation: Alright I actually suggest a one to one e-mail from SLN to CLN, but strictly him ... it is an opinion you need to share between you two. But it will be strictly between SLN and NLC in the one-to-one as both how to do.... And maybe they will eventually drop it. Especially at the beginning of call where he always this is good to you. (Head of Sales, post-meeting, P105 -45:11 min)

In this study, the average pre- or post-negotiation meeting (whose importance has been established in this work) was only 21 minutes, while some of the negotiation sessions lasted up to 8 hours. Lewicki et al. (2010) suggest that the post-negotiation meeting is an opportunity to vent their frustrations and Lempereur & Colson, (2010) offer the broad advice to “take time after a negotiation to debrief and analyse all its various aspects” (p. 225). However, negotiation literature tends to view the time after a negotiation meeting as a learning opportunity and to identify what they might do better in the next negotiation, both as individuals and as a team (Lewicki et al., 2010; Movius & Susskind, 2009; Watkins, 2006). The emphasis is on learning from experience (e.g. Kolb, 1984; Schön, 1987). In contrast, the case study suggests that the post-negotiation meeting is, in fact, essential preparation for the next negotiation, the preparation task being to agree on the actions – typically, further research or consultations that have to be undertaken prior to meeting again with the customer. This pre- and post-meeting time dimension brings an additional sequential time dimension to the findings.

Also, as the quote from the Seller Head of Sales above shows, the negotiators have to decide *who*, *how*, *what*, and *where* for the next round. The importance of the debriefing sessions, as part of preparation in negotiations with consecutive rounds, has not previously been highlighted and suggests the need for a broader understanding of what is meant by team *preparation and planning*.

The quotation below is from a specialist participating in his first preparation meeting in this specific negotiation covered by the case study:

Et il y a aussi un débriefing après? (Specialist not part of the core negotiation team, document P101-19:58 min)²

The quotation suggests that debriefings (also known in the company as lessons learnt, post-mortems, after action review, follow-up meeting or post-meeting) do occur in other company negotiations and not solely in the negotiation observed; this is a finding that corroborates observations from other negotiations in the company and informal interviews which are conducted by the author.

The case study indicates that the debriefings (post-meetings) were conducted with the same rigour as pre-meetings (21 post sessions vs. 18 pre sessions) and were only slightly less long in duration than the preparation meetings (total 5:50:00 vs. 6:33:00 hours). The importance of the post-meeting as a preparation is also reflected in the number of different preparation activities that are conducted during these meetings. Table 31, below, shows not only which activities are carried out by negotiators but also whether they are conducted before or after a customer negotiation meeting.

² Is there a debriefing afterwards? (Specialist not part of the core negotiation team, document P101-19:58 min)

Table 31. When in the process will the activities occur in teams – Pre- and Post-Meetings – No. of Observations and Normalized Relative Frequency.

Activity Category:	Observation: Total no. of observed occasions of the activity	Pre-meeting Observations	Pre-meeting Relative frequency	Post-meeting Observations	Post-meeting Relative frequency
1. Information Gathering	29	16	52%	13	48%
1.1. Environmental Context	0	0		0	
1.2. Nature of Interaction	0	0		0	
1.3. Negotiation Context	13	6	43%	7	57%
1.4. The Other Party	17	11	62%	6	38%
2. Formulation	38	22	55%	16	45%
2.1. Issues, Interests, Positions and Priorities	20	12	57%	8	43%
2.2 Options	8	3	35%	5	65%
2.3 Reservation Points	11	7	61%	4	39%
2.4. Goals	1	1	100%	0	0%
3. Setting-the-Table	35	20	54%	15	46%
3.1. How to negotiate	17	6	33%	11	67%
3.2. How to organize the team	13	11	83%	2	17%
3.3. What to Negotiate - Agenda	5	3	57%	2	43%
4. Integrative Strategy and Tactics	9	5	53%	4	47%
4.1. Understand the underlying interests and needs	4	3	73%	1	27%
4.2. Generate integrative solutions	5	2	37%	3	63%
4.3. Legitimacy	0	0	0%	0	0%
5. Distributive Strategy and Tactics	18	16	88%	2	12%
5.1. Reservation point and goals	2	2	100%	0	0%
5.2. Positions and concessions	1	1	100%	0	0%
5.3 Develop arguments and counterarguments	9	9	100%	0	0%
5.4. Hard-bargaining tactics	8	6	73%	2	27%
ALL THEMES	115	73	61%	42	39%
Observed time planning and preparing [% of total]	100%	53%		47%	
Observed time planning and preparing [hh:mm:ss]	12:23:00	6:33:00	6:33:00	5:50:00	5:50:00

The table shows there is a similar relative frequency in the pre- and post-meetings in the first four themes (Information Gathering, Formulation and Setting-the-Table, and Integrative Strategy and Tactics) even though the majority of occurrences took place in the pre-meetings (73 vs. 42); 61% vs. 39% relative frequency). The Distributive Strategy and Tactics activities, however, are almost entirely conducted in the pre-meetings (16 vs. 2 occurrences), and primarily stem from the preparation of Arguments (9) and Hard-Bargaining considerations (6).

Carnevale and Lawler (1986) found that negotiators who had an individualistic orientation produced greater competitiveness, reduced information exchange, and had firm negotiator aspirations when under time pressure. Druckman (1994) also found that constrained time impacted

strategic choice and hindered the development of integrative agreements. Similarly, studies by De Dreu (2003) revealed that negotiators under time pressure were less motivated to process information systematically and were less likely to question the fixed-pie perception during negotiation, which leads to the assumption that the negotiation does not have an integrative potential and must be successfully completed with distributive bargaining (Donohue & Taylor, 2007). The pre-meetings are typically conducted only minutes or a few hours before the customer meetings and are of a short duration (average 23 min, maximum 45) and, therefore, a situation in which the negotiators have little time to engage in careful processing as a result of the deadline created by the upcoming customer meetings. When under time pressure, negotiators often fall back on positional bargaining and so, one might hypothesize, that the temporal constraints can in part explain why the negotiators are more distributively oriented in the pre-meeting, compared to the post-meetings. If this hypothesis is confirmed, the practical implication would then be that the seller team should ensure sufficient pre-meeting time, thereby improving the quality of the integrative agreements.

Still with the majority of the Setting-the-Table activities conducted in the pre-meetings (54% vs. 46%) there are a considerable number of activities that take place during the post-meetings. How to Organize the Team, typically Alignment of the Team right before entering into the customer negotiation, is almost exclusively done in the pre-meeting (11 vs. 2). On the other hand, some of these activities take place primarily during the post-meeting, most notably How to Negotiate (M3.1) with 11 observations in the post-meeting and only six in the pre-meetings. More specifically, discussing who should Participate (M3.1.2) and the Procedural and Ground Rules (M3.1.3) almost exclusively occurred in the post meetings with six and five occurrences in the post-

meetings vs. two and zero occurrences in the pre-meetings respectively. In addition, all 11 of the Participants and Procedural and Ground Rules activities were observed in the Open Issue phase after an impasse. It makes sense to focus intuitively on the process in a post-meeting, rather than in a pre-meeting imminently before the customer meeting, as many of the levers by which to change to process are no longer available at the time of the pre-meeting (e.g. participants). Still, as mentioned previously, the process moves (such as changing participants or venue) and should not only be considered after an impasse, but more proactively throughout the process.

Moreover, one reason for the extended use of the post-meetings as a preparation meeting generally may stem from the convenience of logistics as the team is already gathered (physically, by video, by phone...). Furthermore, in today's business world of crowded calendars the post-meetings save the often tedious exercise of scheduling (Janicik & Bartel, 2003) and allow for speedy progress by agreeing on what to do in the shortest possible time frame. The importance of these meetings, coupled with the feeling of being emotionally charged even after venting frustrations, suggests the need for careful management with special focus on how to handle the overall process of the customer negotiation.

In summary, this temporal finding contributes to our understanding of preparation by suggesting that preparation occurs after as well as before a meeting with the other party and has, therefore, been termed pre-preparation and post-preparation. Furthermore, the temporal findings suggest that, their being time poor and faced with logistical problems notwithstanding, negotiators regard post meetings as being important. These meetings are not used for reflections, as suggested in the literature, but rather as preparation for the next meeting; particularly, tasking who should participate and does what in the upcoming negotiation round. The short period invested in both pre-

and post-meetings suggests that negotiators may be foregoing opportunities to develop more integrative approaches in the remainder of that negotiation.

7.3.2. The internal use of collaborative technology during customer negotiations

The behavioural technique of *going to the balcony* (Ury, 1993) or taking a time-out is widely known as a method by which to cool-off and to avoid reacting to one's own immediate natural impulses and emotions (Brett, 2007; Hames, 2012; Luecke, 2003; Hillesøe & Jensen, 2009; Thompson, 2014). Moreover, a pause in the negotiation can also serve as an opportunity to assess the situation and adjust the strategic plan accordingly (Lempereur & Colson, 2010). During longer negotiations these break-outs may happen more naturally, for example at lunch time, or by the end of the day, as happened during the case study on various occasions. Interruptions can similarly be called for when one of the teams feels the need to hold an internal caucus, which might be perceived by the other party as being a signal of weakness to be exploited unless the team has an established, non-verbal communication sign in place (Behfar et al., 2008a). This study uncovered an alternative way of going to the balcony not describe above and not found in the literature reviewed.

During the customer negotiations, the seller's negotiation team consistently used instant messaging (in the industry it is customary to negotiate with your computer in front of you, thereby making the use of IM possible during face-to-face and teleconference meetings). The participants in the group chat not only included the direct seller participants but also sales management as well as internal specialists on occasions. In addition to agreeing upon the point at which to call for an internal caucus, the internal chat room served many other purposes, as exemplified in the quotation below by the Head of Sales during a post-meeting.

Mais ce qui est très important c'est effectivement ce petit outil (Group Chat / Group Instant Messaging) qui permet vraiment d'être en phase, de qui prend le relais quand, quand est-ce qu'on arrête le sujet, quand est-ce qu'on arrête l'émotionnel, quand est-ce qu'on reprend sur le factuel, vraiment pour améliorer l'efficacité de ce qu'on attend de ce genre de réunion. Et les trois personnes étant assez informées sur les détails du contenu de ce à quoi on doit arriver, je trouve que la préparation d'une telle réunion qui se fait toujours en deux étapes: en amont, avec le petit call toi tu fais ça, ça et ça ; et pendant la réunion, quelque part pour réorienter, réorganiser ou appuyer ce qu'un collaborateur va expliquer... (Head of sales, post-meeting, document P88-15:05)³

In other words the Head of Sales perceived an improvement in customer meeting efficiency as a result of the use of group chat during the customer negotiation. He mentions several reasons for this improvement, such as alignment ("en phase"), by using the chat room to define who does what, when, and how. Furthermore, he perceived an improvement in meeting efficiency due to the fact that the chat room allowed for the reassessment of the situation and the strategic plan. Consequently, the Seller's Head of Sales saw this use of technology as a way to convert the team reflection, which would take place during a break, into a reflection in real-time which is similar to the concept of reflection-in-action (i.e. reflection in the midst of action) developed by Schön (1983, 1987) in the area of reflective practice. There are numerous examples, from the internal chat log during the customer negotiation, that support the view that the chat room was used for both alignment and a reassessment of the situation:

SSS: On le laisse parler de ce point ou on l'aborde nous?

³ English translation: But this little tool (Group Chat) is actually very important because it really allows you to do things in phases: who takes over when, when will we stop discussing this or that subject, when is it that emotions are running high, when can we return to the matter at hand which really improves the effectiveness of what is expected of us at these meetings. Even with three people who are sufficiently informed about the details of the content of what is going to happen, I still find that the preparation for such a meeting is always done in two stages: first, which calls you make- you do this, you do that, and later on, during the meeting where you can reorient, reorganize, or support what a collaborator will need to explain ... (Head of sales, post -meeting, Document P88-15:05 min).

SLN: On le laisse parler de ce point©. (Customer negotiation, sales lead negotiator, case study protocol, chat log, January 2012)⁴

Dis à SHS de poser juste une question: quid de la date de signature? Quel est ton avis? (Customer negotiation, sales lead negotiator, case study protocol, chat log, January 2012)⁵

The first example demonstrates how service sales (SSS) consults with the sales Lead Negotiator (SLN) on how to proceed (alignment) and the second example is an illustration of distributive strategic concession planning, in which the Lead Negotiator consults with the team regarding their opinion (SHS – Head of Sales).

Furthermore, and not mentioned in the survey, the case study reveals the chat room to be something which is used on various occasions to give feedback in relation to the strategic plan of the meeting and to give, and seek, individual feedback.

Super, il s'approprie l'agenda. (Customer negotiation, sales lead negotiator, case study protocol, chat log, January, 2012)⁶

Any feedback? (Customer negotiation, sales lead negotiator, case study protocol, chat log, January, 2012)

Finally, examples of re-setting-the-table, or *shaping the game* in the terminology of Watkins (2006), were identified in the chat room logs:

SLN: “Dis à SHS de poser juste une question: quid de la date de signature? Quel est ton avis? (Customer negotiation, sales lead negotiator, Case Study Protocol, Chat log January, 2012)⁷

⁴ English translation: SSS – Should we let him talk about this or should we do it? SLN – We let him talk about it ©

⁵ English translation: Tell SHS to ask just one question: what about the date of the signature? What do you reckon? What do you think about that?

⁶ English translation: Great. He has taken ownership of the agenda

⁷ English translation: Tell SHS to ask just one question: what about the date of the signature? What do you reckon? What do you think about that?

Here the Lead Negotiator questions whether the team should call in the Head of Sales (who was on stand-by in the building) to pose critical questions to the customer, thereby making a *3-D move* (Lax & Sebenius, 2006) or game changing move (Watkins, 2006) by adding a participant of superior status from the seller's organization.

Another example of the use of collaborative technology to align the seller team was the screen sharing facility in the chat room, on which the note taker (in this negotiation the Lead negotiator) shared his internal minutes of meeting with the rest of the team (e.g. case study protocol, page 41). The use of chat rooms was limited to the duration of the customer negotiations and not used as a medium for NPP in the periods between customer meetings.

The use of chat rooms as a way to perform real time preparation and planning was not an aspect that appeared from the literature review, maybe as a result of the arrival upon the scene of various new technologies, and was thus an unanticipated finding. A broader review of the academic literature showed the same result, although Brett (2007) reports an interview in which the team leader of a buying team used a closed chat room during a conference call negotiation. The team leader expressed with certainty that "this electronically enhanced process had given his team a strategic advantage" (Brett, 2007, p. 20). The team leader's perception supports the statement by the SHS in the case study and confirms that the practice of using internal chat rooms during buyer-seller negotiations is not limited to the company under study. On the other hand, the other party may perceive that seller negotiation team is communicating away-from-the-table which may have a negative influence on their feeling about the relationship. Consequently, understanding how the use of internal chat rooms contributes to a negotiation's effectiveness in different contexts looks like a promising avenue of research of interest to academics and practitioners alike.

7.3.3 Executive and sales management influence on the preparation and planning.

In this study, executive and sales management was found to have an influence on how the team prepared and planned for negotiations. Firstly, the findings suggest that executive participation in the preparation and planning meetings leads to more individual preparation prior to the meetings. Secondly, the findings indicate that the presence of sales management significantly prolongs the duration of pre- and post-negotiation meetings. For clarification and simply put, sales management leads the local sales force within a given mandate set by the executives within each function.

According to the SNL, he spent one day of individual preparation for the preparation and planning meeting with the participation of the Regional Head of Sales and the Regional Head of Service (both executives and members of the regional management), prior to an upcoming customer meeting:

Yesterday I spent the whole day preparing the negotiation. I have informed them (the regional head of sales and the regional head of service) about the context of the project, description of the customer organization providing updated strategic account plan and curriculum of the actors. I think that all of this preparation helped us in order to be more efficient and we have avoided mistakes, such as contradictions in front of the customer. 1 day of preparation for 1 day of negotiation. Hard to do, but very beneficial in the end. (Survey, P1, Q4)

The information prepared by the SLN gave the regional heads an insight into all of the elements of the Information Gathering activities, included under Negotiation Context and The Other Party. This was the first time during the case study where such a structured and comprehensive approach was taken. Furthermore, this was the only time for which an agenda existed for an internal meeting (e-mail 4/12/2012) and is possibly the best example of increased investment in individual preparation for the preparation and planning meeting as a result of the presence of management.

This finding is consistent with the impression management theory which refers to the process by which individuals attempt to control the impression others form about them (Leary & Kowalski, 1990) and the self-monitoring theory (Snyder, 1974) which predicts that people who closely monitor themselves can be thought of as social pragmatists who project images in an attempt to impress others and to receive positive feedback.

The data from the case study demonstrates that the average duration of the pre- and post-meetings is almost doubled when sales management is participating (26:25 min vs. 13:44). This pattern is reproduced in both the pre-meetings (28:57 min vs. 12:56 min) and post-meetings (23:37 min vs. 14:30 min). The expected explanation for this significant difference in the meeting duration can, as in the case with executive participation described above, be found in impression management theory (Leary & Kowalski, 1990).

The data from the case study does not, however, support the notion that sales management participation in the preparation and planning meetings leads to more activities being conducted. Analysing the number of activities conducted in meetings with sales management gives a slightly higher frequency in post meetings (One activity every 6:55 min vs. every 7:09 min) and a slightly lower frequency in pre-meetings (one activity every 5:18 min vs. every 4:36 min) compared to meetings without the management. Similarly, reviewing the activities generated by the different negotiators does not suggest that management is instrumental in creating NPP activities.

What the data shows is that the Lead Negotiator covers all but one activity during his chairing of the negotiation and that sales management has a strong participation in terms of NPP activities compared to service and legal. The sales management individual is the only participant who raises activities not already done by the Lead Negotiator (e.g. Generating Integrative Solutions,

by suggesting the use of differences between the parties to create an integrative agreement, Post-meeting, P87).

Other findings do point to the importance of sales management to NPP effectiveness, as sales management interventions had a lasting impact on the negotiation process. One example is the introduction of weekly meetings with the customer and the creation of a shared open issue log. This strategic sales management intervention to redirect the process, first suggested in the preparation and later proposed to the customer, served as a turning point in the negotiation which may have helped the parties to reach an agreement (Druckman, Olekalns, & Smith, 2009; Druckman & Olekalns, 2011).

In summary, the case study gives an indication that the presence of executives may increase the time invested in individual negotiation preparation and planning and that the presence of sales management in preparation and planning meetings increases their duration. Both of these findings are consistent with impression management theory. Sales management may also have influence in positively affecting the outcome of the negotiation by proposing NPP activates which have not been proposed by other participants, such as moves to redirect the process.

Having finished the final part of the findings' analysis and discussion, we will now turn to the final chapter of this dissertation, the overall discussion.

8. Conclusion: Preparing and Planning for Complex Business Negotiations

This study has drawn on practitioner data to examine how negotiators prepare and plan for complex business negotiations and, in particular, has examined the extent to which they follow the prescriptions given in academic literature. The findings contribute to the body of knowledge by supporting, and expanding upon, the extant research on negotiation preparation and planning. The findings have practical implications not only for the company from which the data were collected but, more importantly, for other companies and negotiators involved in negotiating complex business deals.

This final chapter will integrate the findings of the previous three chapters into an account of how negotiators prepare and plan for a complex business negotiations. It will then explore the contribution of these findings in order to derive a better understanding of the theory and practice of negotiation preparation and planning. The chapter continues by analysing both the strengths and weaknesses of the study which is followed by suggestions for future research.

8.1 The findings: How negotiators prepare and plan.

Much has been written about negotiation preparation and planning, yet little is known about what negotiators actually do when they are preparing for a business negotiation. This study contributes to filling this gap, by identifying which preparation activities are conducted, by whom, and when they occur in the negotiation process. The use of practitioner data for this study responds to the call for research that might complement the results from experimental studies. The findings in this study support the literature to the extent that the key elements of preparation and planning which are recommended in the literature, are undertaken by negotiators. However, the study adds

new knowledge to negotiation research, firstly by identifying who conducts the activities and when they take place, and secondly by identifying some aspects of the negotiation preparation process that have not previously been examined in the literature.

To summarise the findings, nine of the 18 good preparation activities recommended were found to be conducted individually (by the negotiators themselves or with other colleagues and external advisors) and nine were found to be conducted as team activities (Table 32). In total, 12 of the 18 activity categories were conducted individually, by the team, or by both. Using a three phase negotiation model, an investigation revealed that the activity categories conducted by teams were observed in all three phases, with eight activity categories in the positioning phase, four in the flexibility phase, and three in the repositioning phase. Table 32 integrates the “what”, “who”, and “when” aspects of preparation into one presentation. As such, it is a development beyond the checklist of activities that were presented in earlier chapters and so has been given a new name, Negotiation Preparation and Planning Activity model (hereafter the NePPA model).

Table 32. Negotiation Preparation and Planning Activities Conducted by Business Negotiators – the NePPA model.

	Activities conducted Individually (without the negotiation team)	Activities conducted with the negotiation team	Initial negotiations (Positioning phase)	Open Issues negotiations (Flexibility phase)	Partial Agreement negotiations (Re-positioning phase)
Activity Category:					
1. Information Gathering					
1.1. Environmental Context	x	x	x	x	x
1.2. Nature of Interaction	x	x	x	x	x
1.3. Negotiation Context	✓	✓	✓	✓	✓
1.4. The Other Party	✓	✓	✓	✓	✓
2. Formulation					
2.1. Issues, Interests, Positions and Priorities	✓	✓	✓	x	x
2.2. Options	✓	✓	✓	x	x
2.3. Reservation Points	✓	✓	✓	x	x
2.4. Goals	✓	x	x	x	x
3. Setting-the-Table					
3.1. How to Negotiate	x	✓	x	✓	x
3.2. How to Organize the Team	x	✓	✓	x	x
3.3. What to Negotiate - Agenda	x	x	x	x	x
4. Integrative Strategy and Tactics					
4.1. Understand the Underlying Interests and Needs	x	x	x	x	x
4.2. Generate Integrative Solutions	✓	x	x	x	x
4.3. Legitimacy	x	x	x	x	x
5. Distributive Strategy and Tactics					
5.1. Reservation Points and Goals	x	x	x	x	x
5.2. Positions and Concessions	✓	x	x	x	x
5.3. Develop Arguments and Counterarguments	✓	✓	✓	x	x
5.4. Hard-Bargaining Tactics	x	✓	✓	✓	✓

Some recommended activities such as Nature of Interaction and Legitimacy have seemingly been found not to be part of the preparation process, despite being recommended widely in the literature. The explanation lies with the negotiator's familiarity with the context, given that they are involved regularly in similar negotiations; this aspect of "preparation" is, therefore, embedded in their daily activities rather than as an activity that must be repeated for each new negotiation. The bulk of the negotiators' preparation lay with 12 of the activities (Table 32); as anticipated, they gather information, formulate their approach on the issue and get themselves organised. They engage in more distributively-oriented than integrative preparation, which is not as it is envisaged in the literature but reflects the realities of the complex nature of the issues being negotiated over.

Although the negotiations are conducted within teams (normally of 2 to 4 participants on each side), a significant amount of the preparation is done individually. Each negotiator gathers information about the negotiation context and the other party, develops an understanding of the issues, interests, and positions, sets reservation points and develops goals. Priorities on issues are also established and options are developed; these activities are, however, only conducted from one's own perspective (which may reflect a deficiency in their preparation). Looking at other preparation activities we can see that the negotiators do not appear to develop questions to assess the interests and priorities of the other party, nor do they develop legitimacy arguments or even test their own assumptions.

They organize the team individually in order to set-the-table for the upcoming negotiations, they consider how to develop solutions, such as how to logroll but also how to prepare around positions and concessions, together with the development of arguments and counterarguments.

Having prepared individually, the negotiating team comes together in anticipation of meeting with the other party. There is less team preparation. This is evidenced by the average length of meeting being just 23 minutes (meetings with the other party were at least one hour and can be up to eight hours). Collectively, they consolidate their individual understanding of the situation – the information they had gathered separately; their views on issues, interests, positions and priorities, and distributive arguments they might use in support of their positions. By this stage, positions and the agenda have been set, so there is no need for further discussion but, perhaps surprisingly, nor is there discussion to set goals or to generate integrative solutions. Instead, they do discuss an aspect that does not appear to be considered individually; namely, hard bargaining

tactics. This aspect of their preparation will be discussed more fully in the next paragraph when we consider when activities occur.

The focus of preparation activity can also be seen when considering when the activities are undertaken. As would be expected, activities such as organising the team, issues, interests, and priorities continue to be discussed within the team, as these would be the topics being discussed during the initial positioning phase. The positioning of the parties would also involve what they could not agree to and so reservation points are discussed by the negotiators in their preparation for the first phase. Reservation points were not discussed in later phases of the negotiation; one explanation for this, in the case study, would be that the negotiators now had a clearer understanding of both parties' limits and reservation prices following the impasse. Importantly, information gathering continues throughout the negotiation which, in the example of the case study, was spread over 13 months. This reflects the need to gather information to evaluate possible avenues for the resolution of difficulties that emerged during the course of the negotiation. Alongside this, the negotiators continued throughout the negotiation to prepare and plan their hard bargaining tactics, which suggests that the negotiations were viewed as being distributive rather than as problem-solving exercises. In fact, during the first phase the preparation was predominantly distributive, though it became more balanced with integrative perspectives in the two subsequent phases. This could be linked to previous research that the initial positioning phase of a negotiation will, most likely, be distributively oriented (Morley & Stephenson, 1977; Olekalns, Brett, & Weingart, 2003). This indicates that a possible correlation might exist between a team's preparation and planning and that of the subsequent at-the-table negotiation behaviour, an aspect that could be explored in future research.

Finally, it should be noted that the negotiators really only focused on the task of How to Negotiate once they had experienced a deadlock. This finding about preparation is consistent with findings by other researchers' observations (e.g. Kolb & Williams, 2001) of actual negotiations, in which the negotiators do not address process issues until after an impasse. This suggests, perhaps, that based on their past experience the negotiators in the study had presumed how the negotiations would unfold and only paid attention to this aspect once they realised that the negotiations had not progressed as anticipated.

8.2 Theoretical implications.

In this section I discuss how this study, and the findings derived therefrom, contribute to our understanding of the task of preparing and planning for a complex business negotiation.

8.2.1 Developing a model of good preparation and planning, according to the literature.

Preparation and planning for negotiations has been written about widely as it is regarded as an essential first step in negotiation. However this literature is diverse, being written from different perspectives and with different negotiation contexts in mind, and it can prove a challenge to any researcher or practitioner to distil the essence of the literature. To this end, the work of eight purposefully selected authors, all scholars in the field of negotiation, were scrutinized to distil 58 recommended preparation and planning activities. The five broad themes of preparation: Information Gathering, Formulation, Setting-the-table, Integrative Strategy and Tactics, and Distributive Strategy and Tactics, divided into 18 categories is sufficiently comprehensive to provide a preliminary indication of what might constitute good preparation practice. The need for a comprehensive approach to preparation is clear: negotiators must research the context as well as

researching the other party; formulate their approach on the subject matter for negotiation; develop a strategy with due consideration being given to distributive and integrative approaches and, finally, to develop and plan for how to run the process.

By developing a comprehensive and clearly structured checklist of preparation activities this study has provided a framework for further research into the practices of negotiators. The checklist provides structure for the analysis both of the broad aspects of preparation, such as the relative emphasis on distributive or integrative preparation activity and of more detailed investigation of particular preparation tasks, such as the way in which negotiators develop their reservation points.

As the study progressed, it became apparent that a checklist of activities approach was going to be insufficient to capture and portray the different dimensions of preparation that were emerging through the analysis of the data. The core checklist remains the foundation of the “what” of preparation, and the NePPA model (Fig 32) encapsulates this, but also presents the “who” and the “when” aspects more clearly. The NePPA model served as a data collection device throughout the empirical part of the study but could also serve as a framework to extend our knowledge of the manner in which negotiators confront preparation and planning, both in experimental and naturalistic research.

8.2.2 Identifying the “who” and the “when” of preparation and planning.

The findings of the study, as summarised in Table 32, reveal some aspects of preparation that are not readily apparent in a checklist format. These include the individual/team dimensions and the temporal one. Only on a few occasions, did the literature review uncover recommendations concerning who should conduct the activities (e.g. goal setting was found to be recommend as team

effort), so the study makes a contribution by providing additional information on this aspect of the preparation process. In doing so, it indicates the need for future research in the area.

The study revealed a temporal aspect to preparation, an aspect that has three dimensions that lead to a cyclical rather than static perspective on preparation. The first dimension is that preparation occurs throughout the duration of the negotiation, not only, as is often inferred, before. To operationalize this aspect of when preparation activities occur, the summary of the extant research by Fells (2012), allowed for the process to be divided into three phases: (1) Positioning, (2) Flexibility, and (3) Repositioning, which has been applied. Again, few recommendations can be found in the literature concerning this specific point, which serves as a reminder of the need for future research.

The second temporal finding of the study that contributes to our understanding of preparation is that preparation occurs after, as well as before, a meeting with the other party. This has been termed pre-preparation and post-preparation.

The third new temporal aspect of preparation is that negotiators were found to prepare while at the negotiation table; they communicated amongst themselves electronically to discuss the next moves they should make. New technologies make available a means by which to prepare in real time an actual possibility where previously this would have been done in an adjournment or intuitively, rather than in a prepared manner. This at-the-table preparation completes the continuous cycle of preparation activity: individual preparation, leading to pre-preparation team meeting prior to a meeting with the other party, at-the-table preparation; a post-preparation meeting, and then further work by individuals in anticipation of the next pre-preparation meeting.

8.2.3 Method contribution.

The decision concerning how to collect data is critical for any researcher and this study demonstrates the benefits of utilising complementary methods; in this case, a case study to supplement an open-ended survey. Surveys provide rich data and are relatively easy to administer. Direct observation of negotiations is more difficult to undertake, with challenges of access, proper recording of events and, subsequently, the generalizability of any findings from the case. However, in this study, participant observation, undertaken while at the company, confirmed that negotiators undertook activities that were not reported in the survey. Had this study relied on data from open-ended surveys solely, then two categories (How to Negotiate and Hard-Bargaining Tactics) would not have been included as categories conducted by the negotiators. Similarly, two categories (Goal Setting and Positions and Concessions) which emerged from the survey did not appear in the case study's data.

Self-reported answers to surveys and interviews have been found to be influenced by social desirability (DeMaio, 1984; Nederhof, 1985; Podsakoff, MacKenzie, Lee, & Podsakoff., 2003) and, thereby, exaggerate the behaviour which is desired by the research project so that undesirable behaviour can be underestimate in the answers. Furthermore, research on socially desirable responses suggests that the motivation to be normatively appropriate produces the desire to perform impression management (e.g. Lalwani, Shavitt, & Johnson 2006; Paulhus, 1998). Thus, impression management in responding to surveys refers to favourable self-presentations which are designed to maintain a positive and normative image (Paulhus, 1998; Schlenker & Britt, 1999), which may explain why Hard-Bargaining Tactics were not mentioned in the survey.

Assuming that the negotiators have an interest in showing that they do many activities as part of their negotiation preparation and planning, the argument above would not explain why the survey failed to capture other key activities. The gap between the results obtained from the survey and the case study is more likely to exist because negotiators are simply unaware of some of the activities they perform when conducting NPP. Furthermore, they may be both cognitively limited in remembering all of what they do and limited in the time that they allocate to answering the survey. Consequently, respondents may be affected by anchoring effects (Eisenhower, Mathiowetz, & Morganstein, 1991), availability heuristics (Tversky & Kahneman, 1974), and other heuristics when responding to the survey and, thereby, might generate answers that only partly answer the research question(s) sought.

The experience of this study suggests that when the aim of a research project is to understand intra-organizational phenomenon, then the researchers would benefit from using both open-ended survey and participant observation as the combination generates more comprehensive answers than either of the methods by themselves.

8.3 Practical implications for negotiators.

The empirical foundation for this study has involved practitioner experiences drawn from a business negotiation context and the practical implications of the findings are important both to negotiators and their managers. The study has identified a number of aspects of preparation that can usefully be considered by negotiators who find themselves having to manage the challenge of complexity yet also constraints on their time – the typical business negotiator!

The first implication for negotiators is that they should regard preparation as a continuous cyclical process (Figure 9). While negotiators could use the NePPA model as a diagnostic tool to

guide their preparation and planning activities, the complexity of the model might inhibit them from doing so. The Preparation Cycle model offers a more dynamic perspective to guide negotiators: viewing preparation as cyclical rather than linear will help embed the practice of preparing after meetings with the other party as well as before them. As part of the on-going nature of preparation, negotiators should also explore the use of instant messaging as a means of at-the-table preparation of moves during the meeting with the other party.

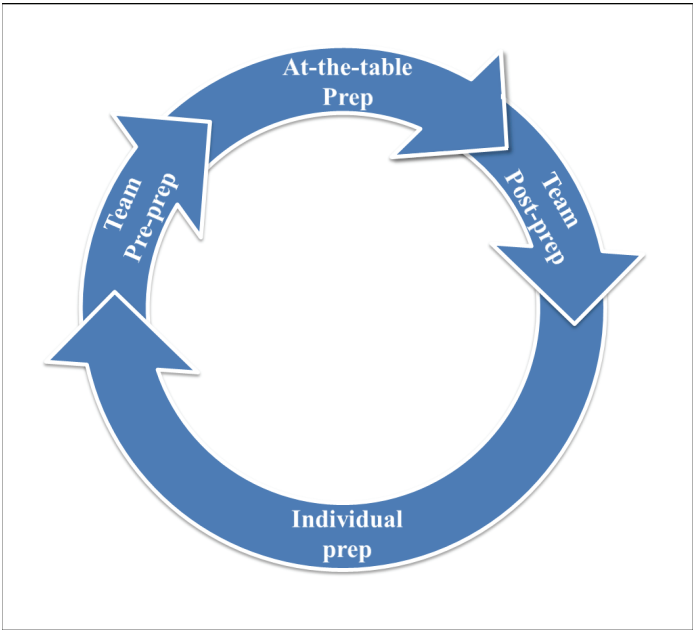


Figure 9: The Negotiation Preparation and Planning Cycle.

To the extent that the negotiators of this study might be considered to be typical, then another practical approach to improving one’s negotiation preparation would be to focus on

activities that the research here suggests that business negotiators typically do not do. There are five activities in particular which are recommended in the literature, but which are not conducted, and so should receive more attention from negotiators:

1. Negotiators should give more attention to how they set their goals.
Goal setting for the deal as a whole and for individual issues is an integral part of successful negotiation preparation and planning and should be conducted collectively as well as individually and throughout the negotiation. Goal setting should not be confused with developing reservation points or the negotiation mandate given by management.
2. Negotiators should prepare to manage the process.
Rather than wait until negotiations reach an impasse negotiators should proactively prepare process moves both individually and in the negotiation team throughout the negotiation, giving careful consideration to how the next session might unfold, including what to do if they do not go as anticipated.
3. Negotiators should collectively agree on their agenda prior to meeting the other party.
Giving explicit consideration to their agenda will guard against individual negotiators (e.g. sales or legal) coming to the meeting thinking that their particular area of concern is the critical one.
4. Negotiators should develop a questioning perspective.
It was noted that the negotiators did not appear to assess interest and priorities of the other party, nor did they develop legitimacy arguments, nor did they test their own assumptions. One technique to address this would be to develop a questioning perspective in their team discussions, which would also lead to developing questions that can then be used to direct the conversation when meeting the other party.
5. Devote more time to preparation.
The implication of the previous points is that negotiators do not allocate enough time to the task of preparation. To enable this, the negotiation lead should ensure that his or her team block out sufficient time before and after the time scheduled for meeting with the other party. This may, for example, mean planning to stay an extra night rather than taking the first available flight once a meeting is finished. Senior managers should periodically actively involve themselves in the preparation process. While it is appropriate for them to delegate the negotiation task to the team, the findings of this study suggests that their participation in preparation meetings does increase the time negotiators engage in the preparation task.

Taking these five recommendations together will help negotiators prepare and plan more effectively for forthcoming negotiations. A further implication of these recommendations is that there is a role for the lead negotiator to ensure that this happens. This suggests that the lead negotiator should manage the preparation process with the same diligence that they would apply in the meeting with the other party.

8.4 Overall strengths and weaknesses of the study.

A number of features contribute to the strength of this study. First, although the task of preparation is recognised as an important aspect of negotiation by academics and professional negotiators alike, it has been under-researched. This study addresses that deficiency through its access to, and analysis of, practitioner data. Furthermore, the study is one of only a few investigations about negotiators in a non-experimental setting, thereby opening up to the generation of more in-depth data (Dwyer & Buckle, 2009). It makes a particular contribution by providing insights into the business context of negotiation which has previously received less attention than, for example, international and interpersonal negotiations.

Despite the literature on preparation being extensive, the qualitative and longitudinal nature of the study enabled new insights to be uncovered, such as the importance of preparation after a negotiation meeting and the distributive orientation for the preparation and planning in the initial phase of the negotiation. These new insights offer new perspectives on the preparation for negotiation, a field of study in need of diversity to ensure further scholarly development (Buelens et al., 2008).

A further strength of the study is its methodology which employed multiple methods of inquiry. This allowed for a more thorough understanding of the complex nature of preparation and

planning as it occurs in an organizational setting. In so doing, it provides an example for other researchers investigating complex behavioural and organisational topics

Finally, the case study is revelatory as the researcher was offered the possibility to investigate a phenomenon previously inaccessible to scholarship (Farquhar, 2012; Flyvbjerg, 2006; Yin, 2009), making the use of the explorative single case study particularly appropriate (Meredith, 1998).

The findings in this study are subject to a number of limitations, which emphasises the need for future research. Firstly, the investigation was conducted in a single company setting, which restricted the sample to both industry and negotiation contexts (Patton, 2001) and which may, possibly, have limited the generalizability of the findings to similar organizational contexts exclusively (Piercy, Cravens, Lane, & Vorhies, 2006). It is, therefore, not possible to be assured of the degree to which the findings have been influenced by elements which are unique to the company under study (e.g. its corporate culture). Although a single company research design provides the possibility to control for contextual effects, such as negotiation context and industry, the limitations mentioned above emphasise the need for future research, possibly by applying a multiple-company research design. Moreover, the research design uses a single case study which increases the vulnerability of the findings compared to a multiple case design (Yin, 2009).

The study was unable to follow the negotiation until the final contract was signed, due to the entry of a third party into the negotiation and the consequent change of negotiation team. This may have prevented the observation of some negotiation activities which would have been expected to take place, such as the development of an opening offer. With regard to the analysis of the data, data coding and the identification of categories were conducted by only one person, though the

analysis was discussed with the research supervisor. Single researcher coding, although mitigated by the development of a thorough codebook, does not allow for testing inter-rater reliability and, thereby possibly, rigour as claimed by some qualitative researchers (Armstrong et al., 1997; Morse, 1997).

It is probable that negotiators did make an extra effort in their preparation and planning as a result of the importance given to the research by senior management. Their possible reactions, such as when completing the survey, could be consistent with impression management (Leary & Kowalski, 1990) and self-monitoring theory (Snyder, 1974) and might possibly inflate the findings in terms of activities. Moreover, although steps were taken to mitigate the potential difficulties, the researcher's dual-role of acting as a researcher and advisor may have resulted in the negotiators who participated in the longitudinal case study, developing additional preparation and planning skills over time, compared to the negotiators who did not participate in the research study. Nevertheless, without this senior management support and researcher/advisor role, it would not have been possible to undertake the research at all.

8.5 Suggestions for future research.

Many suggestions for further research have already been posited in the previous sections, in particular the need to replicate the present study through more case studies to enhance our understanding of how negotiators prepare and plan for business negotiations. The NePPA model, presented previously, offers one framework for researchers to test and refine. A further broad question, that still needs to be answered, relates to the effectiveness of the various negotiation activities – which of the range of activities make the greatest contribution to the quality of the

negotiated outcome? Both experimental and fieldwork researchers could make contributions to answering this question.

Negotiators typically initiate their negotiations distributively (Morley & Stephenson, 1977; Olekalns et al., 2003). The aforementioned study found evidence to suggest that seller's initial preparation is likely to be distributively oriented, which indicates that there is a correlation between team preparation and planning and the subsequent at-the-table negotiation behaviour. Does the manner in which teams prepare have an impact upon the ensuing negotiation? Do the NPP activities increase – and if so, how - if the ensuing customer negotiations promise to be highly collaborative? This is, almost certainly, a question to which future research can attend.

The research also identified aspects of preparation that had not previously been considered and which would benefit from further investigation. One such finding, the way in which the negotiators made use of collaborative technology – internal chat rooms –, is indicative of the impact new technologies have on business practices and, therefore, is a promising avenue for future research. Although outside the scope of this research project, comments from the negotiators suggest that they believed the use of collaborative technology improved the efficiency of the customer negotiation. If so, then the use made of internal chat rooms by negotiators to, for example, ensure alignment of approach or to engage in real-time reflection (Johnston & Fells, n.d.; Schön, 1983), and the extent to which such technology contributes to a negotiation's effectiveness in different contexts, looks like a new and promising avenue of research which is of interest to both academics and practitioners alike.

Still, we only know one side of the story; how do the negotiators, who are on the other side of the table, perceive the use of the chat room? Does the other side realise that this inter-group

communication is taking place during the negotiation and, if so, does this practice have a negative impact on the relationship? What, if any, are the negative consequences for the negotiation when using this tool? Also, will this kind of communication work better in negotiation settings which have a lower richness in the information exchange (e.g. teleconferencing) than in face-to-face situations? How will the dominant strategic orientation, on either side of the table, influence any given negotiation's effectiveness when using collaborative technology? Will the use of the chat room, on both sides of the table, improve the joint gains of the negotiators?

While the literature offers advice on how to use electronic media in order to negotiate (e.g. Swaab et al., 2011), no literature at all exists concerning how collaborative technology can enhance a negotiation's efficiency in team-on-team negotiations and many questions remain unanswered before we can say whether, and under which conditions, the use of collaborative technology to prepare and plan during negotiations will improve a negotiation's effectiveness.

8.6 Conclusion.

Negotiation preparation and planning has always been regarded as important and the advice concerning how to prepare is extensive. This study has drawn valuable insights from its examination of how negotiators in one company prepare and plan for seller negotiations which are both complex and long. The comparison between advice and practice has revealed that although the broad principles which have been recommended are, in general, followed, some seemingly important aspects are not. In highlighting the team and temporal aspects of preparation the study has highlighted the continuous cyclical nature of the preparation task. This offers a new perspective for negotiators while the study has also identified aspects of preparation and planning that will be of

interest to future researchers. Together, practitioners and researchers can advance our understanding of the preparation and planning process and so contribute towards greater negotiation effectiveness.

Appendices

Appendix A Recommended Negotiation Preparation and Planning Activities

Activity Category:	Support from literature
1. Information Gathering	100%
1.1. Environmental Context	50%
1.1.1. Economic	50%
1.1.2. Political	38%
1.1.3. Institutional-legal	38%
1.1.4. Cultural	63%
1.2. Nature of Interaction	100%
1.2.1. Negotiation Nature	100%
1.2.2. Industry Conventions and Norms	75%
1.3. Negotiation Context	100%
1.3.1. Scope of the Negotiation	50%
1.3.2. Future Relationship	50%
1.3.3. Linkage and Precedence	50%
1.3.4. Competitive Alternatives	50%
1.3.5. Resources and constraints	50%
1.3.6. Own Constituents	50%
1.4. The Other Party	100%
1.4.1. Understand the Customer Organization	75%
1.4.2. Understand the Negotiation Team	100%
1.4.3. Understand the Individual Negotiators	100%
2. Formulation	100%
2.1. Issues, Interests, Positions and Priorities	100%
2.1.1. Issues and interests	100%
2.1.1.1. Customer Issues	100%
2.1.1.2. Seller Issues	100%
2.1.2. Positions	88%
2.1.2.1. Customer Position	88%
2.1.2.2. Seller Position	88%
2.1.3. Priorities	100%
2.1.3.1. Customer Priorities	100%
2.1.3.2. Seller Priorities	100%
2.2. Options	100%
2.2.1. Options - Issues	88%
2.2.1.1. Customer Options Issues	88%
2.2.1.2. Seller Options Issues	88%
2.2.2. Options - Deal	88%
2.2.2.1. Customer Options Deal	88%
2.2.2.2. Seller Options Deal	88%
2.3. Reservation Points	100%
2.3.1. RP - Issues	100%
2.3.1.1. Customer RP Issues	100%
2.3.1.2. Seller RP Issues	100%
2.3.2. RP - Deal	100%
2.3.2.1. Customer RP Deal	100%
2.3.2.2. Seller RP Deal	100%
2.4. Goals	100%
2.4.1. Goals - Issues	100%
2.4.1.1. Customer Goals Issues	100%
2.4.1.2. Seller Goals Issues	100%
2.4.2. Goals - Deal	100%
2.4.2.1. Customer Goals Deal	100%
2.4.2.2. Seller Goals Deal	100%

Activity Category:	Support from literature
3. Setting-the-Table	100%
3.1. How to Negotiate	100%
3.1.1. Logistical Concerns	100%
3.1.2. Participants	38%
3.1.3. Procedural and Ground Rules	75%
3.1.4. Role-Play and Rehearsal	63%
3.2. How to Organize the Team	100%
3.2.1. Size and Composition of the Team	100%
3.2.2. Roles and Responsibilities of the Team Members	100%
3.2.3. Alignment of the Team	50%
3.3. What to Negotiate - Agenda	100%
4. Integrative Strategy and Tactics	100%
4.1. Understand the Underlying Interests and Needs	100%
4.1.1. Ask Questions about I & P	100%
4.1.2. Share Information about I & P	75%
4.1.3. Unbundle Issues	75%
4.2. Generate Integrative Solutions	88%
4.2.1. Methods for Achieving Integrative Agreements	75%
4.2.2. Multiple Equivalent Simultaneous Offers	75%
4.2.3. Using Differences to Create Integrative Agreement	63%
4.3. Legitimacy	88%
5. Distributive Strategy and Tactics	100%
5.1. Reservation Points and Goals	75%
5.1.1. Validate of the Other Party's RPs and Goals	63%
5.1.2. Influence the Other Party's Impression of Own RPs and Goals	50%
5.1.3. Influence the Other Party's Perception of his or her Own RPs and Goals	50%
5.2. Positions and Concessions	100%
5.2.1. Opening Offer and Responses to Other Party's Opening Offer	88%
5.2.2. Concession Plan	75%
5.2.3. Closing Tactics	38%
5.3. Develop Arguments and Counterarguments	75%
5.4. Hard-Bargaining Tactics	63%
5.4.1. Understand and Detect	50%
5.4.2. If and How to Apply Hard Ball	50%
5.4.3. Defence	50%

Appendix B – Full Overview of Activity, Level and Temporal Propositions

Activity Category:	Which category activities are commonly conducted	Who undertakes the preparation and planning activities	When in the process will the activities primarily occur in teams
1. Information Gathering	Activity Propositions	Level Propositions	Temporal Propositions
1.1. Environmental Context	Environmental Context activities will not be conducted by the company negotiators.	N/A	N/A
1.2. Nature of Interaction	The Nature of the Interaction activities will not be conducted by the company negotiators.	N/A	N/A
1.3. Negotiation Context	Negotiation Context NPP activities will commonly be conducted by the negotiators.	Negotiation Context NPP activities will usually be conducted without the team.	Negotiation Context team NPP activities will primarily be conducted in the initial phase of the negotiation.
1.4. The Other Party	The Other Party NPP activities will commonly be conducted by the negotiators.	The Other Party preparation NPP activities will usually be conducted without the team.	The Other Party team NPP activities take place on an ongoing basis from start to finish.
2. Formulation			
2.1. Issues, Interests, Positions and Priorities	Issues, Interests, Positions, and Priorities NPP activities will commonly be conducted by the negotiators.	Issues, Interests, Positions, and Priorities NPP activities will usually be conducted without the team.	Issues, Interests, Positions, and Priorities NPP team activities will primarily be conducted in the initial phase of the negotiation.
2.2. Options	Option NPP activities will commonly be conducted by the negotiators.	Option NPP activities will usually be conducted as team activities.	Option NPP team activities will be conducted on an ongoing basis throughout the process.
2.3. Reservation Points	Reservation Points NPP activities will commonly be conducted by the negotiators.	Reservation Points NPP activities will usually be conducted without the team.	Reservation Points NPP team activities will be conducted in the initial phase of the negotiation.
2.4. Goals	Goals NPP activities will commonly be conducted by the negotiators.	Goals NPP activities will usually be conducted as team activities.	Goals NPP team activities will be conducted in the initial phase of the process.
3. Settling the Table			
3.1. How to Negotiate	How to Negotiate NPP activities will commonly be conducted by the negotiators.	How to Negotiate NPP activities will usually be conducted as team activities.	How to Negotiate NPP team activities will primarily take place after an impasse or deadlock in the negotiation.
3.2. How to Organize the Team	How to Organize the Team NPP activities will commonly be conducted by the negotiators.	How to Organize the Team NPP activities will usually be conducted as team activities.	How to Organize the Team NPP team activities will primarily be conducted in the initial phase of the negotiation, and if there is a change in the members of the team or in the strategy.
3.3. What to Negotiate - Agenda	What to Negotiate NPP activities will commonly be conducted by the negotiators.	What to Negotiate NPP activities will usually be conducted as team activities.	What to Negotiate NPP team activities will take place primarily after an impasse or deadlock in the negotiation.
4. Integrative Strategy and Tactics			
4.1. Understand the Underlying Interests and Needs	Understand the Underlying Interests and Needs NPP activities will commonly be conducted by the negotiators.	Understand the Underlying Interests and Needs NPP activities will usually be conducted as team activities.	Understand the Underlying Interests and Needs team NPP activities will primarily be conducted in the initial phase of the negotiation.
4.2. Generate Integrative Solutions	Generate Integrative Solutions NPP activities will not commonly be conducted by the negotiators.	Generate Integrative Solutions NPP activities will usually be conducted as team activities.	Generate Integrative Solutions NPP activities, if conducted, will primarily take place following a distributively dominated phase of the negotiation.
4.3. Legitimacy	Legitimacy NPP activities will not commonly be conducted by the negotiators.	N/A	N/A
5. Distributive Strategy and Tactics			
5.1. Reservation Points and Goals	Reservation Points and Goals NPP activities will commonly be conducted by the negotiators.	Reservation Points and Goals NPP activities will usually be conducted as team activities.	Reservation Points and Goals NPP team activities will be conducted in the initial phase of the process.
5.2. Positions and Concessions	Positions and Concessions NPP activities will commonly be conducted by the negotiators.	Positions and Concessions NPP activities will usually be conducted as team activities.	Positions and Concessions NPP team activities will be conducted in the initial phase of the process.
5.3. Develop Arguments and Counterarguments	Develop Arguments and Counterarguments NPP activities will not commonly be conducted by the negotiators.	Develop Arguments and Counterarguments NPP activities, if conducted, will usually be conducted as team activities.	Develop Arguments and Counterarguments NPP activities, if conducted, will primarily be conducted in the initial phase of the negotiation.
5.4. Hard-Bargaining Tactics	Hard-Bargaining Tactics NPP activities will commonly be conducted by the negotiators.	Hard-Bargaining Tactics NPP activities will usually be conducted as team activities.	Hard-Bargaining Tactics NPP team activities will primarily be conducted in the initial phase of the negotiation.

Appendix C – Open-ended survey (simplified paper version)

<p><i>Business Pre-negotiation planning and preparation Survey</i></p> <p>Dear Negotiation training alumni member,</p> <p>I am asking for your advice and help by investing 30 min of your time into how negotiators plan and prepare for their negotiations. You have been selected as a participant as you participate in customer negotiations and because you are a Negotiation Training alumni member. The results will be used in my doctoral dissertation to examine how negotiation practices might be improved.</p> <p>Despite it being critically important to the success of negotiations, very little is known about real life pre-negotiation planning and preparation.</p> <p>I kindly ask you to answer the survey based on your own real experience in pre-negotiation planning and preparing over the last 12 months. The survey is designed to invite you to think 'aloud' about what you really did and provide concrete examples rather than comment on what you think ought to occur.</p> <p>For this survey I define negotiations as any verbal interaction with the customer's decision makers, with more than one participant on one side of the table at any given time during the negotiation. Interactions may be face-to-face meetings, video conferencing or conference calls. To answer the survey you did not have to participate in the whole preparation, planning or negotiation, having participated in only a small part of any of the activities qualifies you to participate.</p>	<p>We will only look at VTG supply transactions until the declaration of FOI. We will not look at Service agreements negotiations or any post-FOI negotiations.</p> <p>Pre-negotiation Planning is defined as information collection and option development, and pre-negotiation preparation is limited to activities related to the development and rehearsal of the customer presentation.</p> <p>All personal information collected during the survey will be kept strictly confidential and making no references to individuals.</p> <p>There is no timeout on the survey, so take your time and you will always be able to go back and amend it until April 30th</p> <p>If you have any questions, please do not hesitate to contact me.</p> <p>Thank you very much for your participation, your help is highly appreciated and important for the success of my research.</p> <p>Best Regards Monten</p>
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Pre-negotiation planning and preparation Survey

How and what do you typically prepare and plan for your negotiations?

A) Individually (working on your own)?

B) With colleagues or external consultants (not necessarily part of the negotiation team)?

C) With the entire negotiation team (2 or more persons)?

Which benefits and drawbacks have you seen from your pre-negotiation planning and preparation? Concrete examples will be highly appreciated.

Can you think of any concrete examples of unfortunate events during negotiations that were caused by too much **Preparation and Planning**? What impact do you estimate these events had on the negotiation? Concrete examples will be highly appreciated

Pre-negotiation Planning is defined as information collection and option development, and pre-negotiation preparation is limited to activities related to the development and rehearsal of the customer presentation.

Planning

Preparation

Can you think of any concrete examples of unfortunate events during negotiations that could have been avoided through better Preparation and Planning? What impact do you estimate these events had on the negotiation? Concrete examples will be highly appreciated

Pre-negotiation Planning is defined as information collection and option development, and pre-negotiation preparation is limited to activities related to the development and rehearsal of the customer presentation.

Planning

Preparation

Which areas or parts of your pre negotiation planning and preparation do you believe give you the best payback?

Pre-negotiation Planning is defined as information collection and option development, and pre-negotiation preparation is limited to activities related to the development and rehearsal of the customer presentation.

Planning

Preparation

If you use any tools (worksheets, checklists, company tools...) as part of you Pre-negotiation Planning and Preparation, why do you use them? Please also briefly describe the key figures of the tools you use.

Based on what you have learnt over the years, what would you ideally do different in your next Pre-negotiation Planning and Preparation?

Do you have any other information or comments you would like to share?

Appendix D – NePPA Codebook

NePPA Codebook (MacQueen, McLellan-Lemal, Bartholow, & Milstein, 2008:121; Saldaña, 2009:21)				
Activity Category:	Definition	Inclusion criteria	Exclusion criteria	Contextual examples
1. Information Gathering				
1.1. Environmental Context				
1.1.1. Economic	Macro economic factors and market and industry conditions.	Interest rates, inflation levels and market wages. Available external funding, banking system, insurance, market attractiveness, state of energy supply and demand.	Specific banks, IRR, NPV, and interest rate for the project.	"In another project in Brazil we sat down with insurance brokers and banks before we went to the customer."
1.1.2. Political	Governmental policies and business-government relationships.	Governmental subsidy schemes, import barriers, local contents requirement.	Internal customer political issues	"We needed to have a view on Argentina tax legislation and market situation."
1.1.3. Institutional-legal	Legal and institutional environment.	National contractual design, IP rights, litigation rules, law enforcement, tax rules, customs.	Deal contractual design.	"I sat down with lawyers and banks in the country before we seated with the customer."
1.1.4. Cultural	National culture.	National ideology, national culture, ethical environment and dominant languages.	Company, team and individual negotiator culture.	"Careful and detailed strategies for all difficult aspects of the negotiation: cross cultural guidance..."
1.2. Nature of Interaction	In the context of the company the Nature of the Negotiation is constant and consequently not coded.			
1.2.1. Negotiation Nature	Characteristics of the negotiation.	Exchange or dispute situations. Single-issue or Multi-issue negotiation. Necessity or opportunity negotiation, multi-round negotiation or single round.	Aspects related to environmental context.	N/A
1.2.2. Industry Conventions and Norms	Industry conventions and norms for how to negotiate deals.	Individual or teams negotiation, public or private negotiation, official contracts or handshakes, number of offers made before reaching an agreement, which party makes the first offer, ratification required?	Aspects related to environmental context.	N/A
1.3. Negotiation Context				
1.3.1. Scope of the Negotiation	The characteristics of the negotiation	Scope of supply, financial structure, the parties, partners, project schedule/definition/profile, contractual structure, PPA, permits.	Information about the parties (organizations and people) , customer pipeline.	"Understand project details and peculiarities as regards to permitting, energy production, financing etc."
1.3.2. Future Relationship	The long-term relationship with the customer.	Project pipeline, future/potential/long-term business/projects/orders/revenue/opportunity/profit/S oW, customer, attractiveness.	Linked negotiations, past agreements, track-record.	"Potential pipe of projects they could have on top of the one negotiated."
1.3.3. Linkage and Precedence	Parallel, future and past negotiations linked to the present negotiation.	Past/parallel/future deals/negotiations/agreements/business. Both with the customer and others (precedence).	Future deals not linked to the present negotiation. Customer intelligence. Shared/joint history.	"...preparing a synthesis of the current commercial conditions, comparing with historical conditions with the same customer."
1.3.4. Competitive Alternatives	The alternatives for the customer for the given project	Competitors, competition, names of the competition	Only the customers alternatives not the seller.	"Deep analysis of competitor's positioning in the deal."
1.3.5. Resources and constraints	Contextual constraints and resources for both parties.	Information, expertise, alternatives, skills, materials, money, time and procedures.	Mandate, authority, deal-breaker, limits.	"Argue about why the time/resources available for pursuing the sale is insufficient!"
1.3.6. Own Constituents	The constituents of the buyer affected by the negotiation	Corporate/Group/DK/Denmark/HQ, suppliers, partners, media, manager, boss, superior, departments and individuals of the buying organization not directly involved in the negotiation (e.g. finance, R&D).	Customer stakeholders.	"Involving people at Group, as they will be the final approvers, also save time when the final review process comes."
1.4. The Other Party				
1.4.1. Understand the Customer Organization	The customer organization excluding the team and the individuals.	Decision-making criteria and process, culture, constituents, financial health, shared/joint history of the parties. Customer intelligence.	Pipeline, the customer team, the individual negotiators.	"I collect the background information with customer if exists, if not then I make a quick web research of customer's profile and activities."
1.4.2. Understand the Negotiation Team	The customer negotiation team and its constituents.	The members, team constituents, team interests, preferences and priorities, history of team style, strategy and tactics.	Customer organization, the individual negotiators.	"Who from the client is coming to the negotiation, and what are their roles, preferences and position in the buying centre."
1.4.3. Understand the Individual Negotiators	The individual negotiator and his or her constituents.	The Individual Negotiators interests, needs, priorities, preferences, negotiation styles and other influential conditions.	Customer organization, the negotiation team.	"I spend a lot of time analysing the buying centre to find out how to meet all the participants, and best identify their needs (incl. individual needs)."

NePPA Codebook (MacQueen, McLellan-Lemal, Bartholow, & Milstein, 2008:121; Saldaña, 2009:21)				
Activity Category:	Definition	Inclusion criteria	Exclusion criteria	Contextual examples
2 Formulation	All categories in this theme has sub-categories with customer and seller perspectives.		Only coded as customer if customer/other side/other party/they /them/opponent/ is specifically mentioned.	
2.1. Issues, Interests, Positions and Priorities				
2.1.1. Issues and interests	Issues are what one wants in the negotiation and interests are why we negotiate	Issues: topics, agenda items, (discussion/key) points, list, items, components, dimensions of the negotiation. Interests: Motivations, expectations, needs, desires, fears.	Positions and demands.	"Go through all the open issues and try to understand their needs and position on them."
2.1.2. Positions	The demands and offers a party makes during a negotiation.	Position, demand, requirements, input, request, query, wish.	Interests, priorities, target, aim, objective.	"...Work on our position on all these topics and anticipate the other company's position on these topics."
2.1.3. Priorities	Understanding the order of priority of the issues.	Priority, preference, principal, valuable, important, key, fundamental, vital, crucial, primary, chief, main.	Positions, demands and interests.	"Prepare open questions for discovering the priorities and values for the Customer instead of proposing an already detailed solutions."
2.2. Options				
2.2.1. Options - Issues	Possible solutions to individual issues of a negotiation.	Issue: Solution, alternative, scenario, quotation, offer, answer, possibility, opportunity.	BATNA, no-agreement alternative, alternatives outside the negotiation. Deal solutions or options.	"Read contracts and annexes, ask colleagues who participated about how special issues were solved or what they would do."
2.2.2. Options - Deal	Possible solutions to a negotiation.	Deal: Solution, alternative, scenario, quotation, offer, answer, possibility, opportunity.	BATNA, no-agreement alternative, alternatives outside the negotiation. Issue solutions or options.	"Prepare different scenarios taking into account expectations from customer and our expectations."
2.3. Reservation Points				
2.3.1. RP - Issues	The negotiator's subjectively determined bottom line on a specific issue.	Issue: Resistance point, reservation price, bottom line, limit, walk-away point, mandate, deal-breaker, authority, threshold, non-negotiable, fall-back, BATNA (when used incorrectly).	Deal RP, options, target, goal.	"Identify potential deal breakers."
2.3.2. RP - Deal	The negotiator's subjectively determined bottom line for the deal.	Deal: Resistance point, reservation price, bottom line, limit, walk-away point, mandate, deal-breaker, authority, threshold, non-negotiable, fall-back, exit strategy, contribution margin (CM), BATNA (when used incorrectly).	Issue RP, options, target, goal.	"...Defining limits of our offer(not being able to go deeper). This include of course a good knowledge of market conditions and potential other alternatives for the customer..."
2.4. Goals				
2.4.1. Goals - Issues	The aim of the negotiation in relation to a specific issue.	Issue objective/target/aim/aspiration/expectation/ambition/wish/hope.	Overall objective/goal/aim of the negotiation. Opening offer, position, BATNA, limit, reservation point (RP).	"Colleagues managing the daily work with that customer can give you some feelings and expectations coming from previous experiences with the customer."
Goals Issues				
Issues				
2.4.2. Goals - Deal	The overall aim of the negotiation.	Overall objective/target/aim/aspiration/expectation/ambition/wish/hope.	Issues aspiration level. Opening offer, position, BATNA, limit, Reservation points (RP).	"Really understand what the customer wish to achieve. The customers ambitions and fears in the project."

NePPA Codebook (MacQueen, McLellan-Lemal, Bartholow, & Milstein, 2008:121; Saldaña, 2009:21)

Activity Category:	Definition	Inclusion criteria	Exclusion criteria	Contextual examples
3. Setting-the-Table				
3.1. How to Negotiate	Structure and the rules of the negotiation and how to alter process in ones favour.	Divided into 4 categories: Communication medium, participants, procedural/ground rules (drafting, notes, language, delegation...), Do's and Don'ts - what is OK and not OK (e.g. breaks to cool off, reassess the process, don't reciprocate contentious actions).	Understand the individual negotiators. Who are on the negotiation teams. Participants not at the table, internal rules not relevant for the other party, the agenda.	"I want to organize a meeting between our project finance expert and the customer...We have never done that." (from case study. No examples from the survey).
3.1.1. Logistical Concerns	Defining where the meet, physical arrangement and timing considerations.	Logistics: Practicalities. Where to negotiate: home, neutral, others turf/location/site/premises. Physical arrangements: Seating arrangement, meeting space, breakout rooms, refreshments, food, drinks, connectivity, privacy. Timing of the negotiations: Duration for the meeting, firm deadline, breaks, caucus, social arrangements.	Support material, participants, communication.	"Where do we meet, what about the logistics?"
3.1.4. Role-Play and Rehearsal	Role-playing and rehearsing parts of the negotiation.	Role-play, rehearse, pretending, dry-run, opening statement.	Support material, understand the other party, joint history.	"Rehearse approach to counterpart."
3.2. How to Organize the Team	Who and how many participants to include on the negotiation team, their roles and responsibilities and alignment of the members.	Participants, team members, observers, advisors, consultants. Roles, responsibility, who does what, timekeeper, note taker, leader. Alignment, share, same page, agreement.	The negotiation team of the other party.	"Make sure we [the team] have the same objectives, and we know the objective of our customer. Decide who will talk about what, who will lead the negotiation (define the roles within the negotiation team members is really key in the preparation)."
3.3. What to Negotiate - Agenda	What to negotiate and how to create the agenda.	Agenda, opening stance, issues to discuss, order of items, topic to cover, meeting points/structure. Sequence, framing, packaging, formula, opening.	Issues when not included which/how to include in the meeting/agenda.	"Structure of the negotiation: How do we open discussions? In what order are we going to tackle the various items to negotiate?"
4. Integrative Strategy and Tactics				
4.1. Understand the Underlying Interests and Needs	Planning for increasing the understanding of interests and needs at-the-table	Questions to test assumptions/conclusions from formulation. Share own: Preference, priority, interests, need, motivations, expectations, desires, fears. Unbundle issues: separate, disaggregate, fractionation, unlinking, reprioritize.	Initial assessment of interests and issues.	"[Prepare] open questions for discovering the priorities and values for the Customer."
4.2. Generate Integrative Solutions	Identify ways to create integrative agreements during the negotiation encounter.	Shared brainstorming, idea generation, solution/option development. Compromise, logrolling, dovetailing, trade-off, modify/expand the resource pie, bridging interests, cut the cost, compensation, superordination.	Initial option development.	"Playing out as many alternative scenarios as possible to solve a particular negotiation topic in order to have the creativity and the lucidity during negotiation to enlarge the pie or at least approach your counterpart from multiple points to see where they are more amenable to compromise."
4.3. Legitimacy	Prepare ways to evaluate and justify options.	Objective criteria, fair standards, merits, legitimacy, independent, precedents, precedent, scientific judgment, professional standards, efficiency, costs, moral standards, equal treatment, tradition, parts projects or reciprocity.	Options, arguments, counterarguments.	"Try to establish a background for explaining our position to the client and pick examples based on real business practice or past projects."
5. Distributive Strategy				
5.1. Reservation Points and Goals	Assessment and manipulation of the other party's reservation point and targets together with management of the other party's impression of own reservation point and goals.	Test assumptions/conclusions from formulation: Ask questions, listen for relevant information. Control own sharing of information: Silence, agree on information to disclose/share and not to disclose/confidential, use of spokesperson, information overload (snow job), selective presentation, emotional display, the finch, time allocation. Unfavourable information about competitive alternatives, unforeseen consequences, concealment of positive information.	Initial development and search for goals and RPs.	"Prepare a role out meeting with the people involved and define what they [the team members] can really say."
5.2. Positions and Concessions	Development of opening offer and concession plan.	Opening offer: Opening position, stand, bid. Concession plan: counter offers, give-away, discount, rebate, reduction, mark down, magnitude, contingent, timing.	Reservation point (RP), target, aim.	"What is our opening position, what are the compromises we can accept and what are we prepared to give away in order to get something back?"
5.2.3. Closing Tactics	Planning how to overcome the final objections and how to respond to closing tactics.	Closing: objections, compromise, sweetener, final concession, assumed close, exploding/expiring/time bound offers.	Arguments and counter arguments, concession planning.	"Prepare time limited offer to close the deal." (fiction, no contextual examples available.)
5.3. Develop Arguments and Counterarguments	Development of arguments and counterarguments.	Arguments and counterarguments: answer, script, reply, response, course of action, persuasion, influence, induce, encourage, sway, impact, effect.	Questions about I & P.	"Be prepared for changes from customer sight. Try to list possible changes customer may ask for, and be prepared for them."
5.4. Hard-Bargaining Tactics	How to understand, use, detect, defend against hardball tactics.	aggressive behaviour, misrepresentation, bluffing. Understand and detect: Plan of the other party, impose. Good cop - bad cop, take-it or leave-it, snow job, commitment. Use: ethics, consequences,	Arguments and counter arguments, concessions.	"Who will be the good guy? Who will be the bad guy?"

Appendix E – Overview of Transcribed Observations

Date	Temporal dimension	Atlas.ti doc. no.	Observation type	Transcription duration [min]	Language	No. of participants (lead: researcher)	Lead negotiator	Sales management	Legal	Services	Other	No. quotations	Quotation per min
20120119	Initial negotiations	P75	Pre	0:31:00	English	4	✓	✓	✓	✓		13	0:02:23
20120119	Initial negotiations	P76	Post	0:17:00	French	2	✓	✓	✓	✓		4	0:04:15
20120119	Initial negotiations	P77	Pre	0:09:30	French	2	✓	✓	✓	✓		3	0:03:10
20120123	Initial negotiations	P78	Post	0:17:00	French	2	✓	✓	✓	✓		5	0:03:24
20120128	Initial negotiations	P79	Pre	0:08:30	Spanish	1	✓	✓				2	0:04:15
20120330	Initial negotiations	P80	Pre	0:29:00	French	1	✓	✓				7	0:04:09
20120330	Initial negotiations	P81	Post	0:17:00	French	2	✓	✓				5	0:03:24
20120411	Initial negotiations	P82	Pre	0:31:30	English	5	✓	✓	✓		✓	6	0:05:15
20120411	Initial negotiations	P83	Post	0:13:00	French	2	✓	✓	✓			1	0:04:00
20120511	Initial negotiations	P84	Post	0:21:30	French	2	✓	✓	✓	✓		1	0:21:30
20120522	Open issues negotiations	P85	Post	0:16:30	French	1	✓	✓				3	0:05:30
20120529	Open issues negotiations	P86	Post	0:18:30	French	3	✓	✓	✓	✓		3	0:06:10
20120604	Open issues negotiations	P87	Post	0:17:00	French	3	✓	✓	✓	✓		6	0:02:50
20120611	Open issues negotiations	P88	Post	0:24:00	French	4	✓	✓	✓	✓		8	0:03:00
20120620	Open issues negotiations	P89	Pre	0:13:00	French	3	✓	✓	✓	✓		5	0:02:36
20120620	Open issues negotiations	P90	Post	0:10:30	French	2	✓	✓	✓	✓		1	0:10:30
20120625	Open issues negotiations	P91	Post	0:19:30	French	1	✓	✓	✓	✓		2	0:09:45
20120625	Open issues negotiations	P92	Pre	0:30:00	French	6	✓	✓	✓	✓		13	0:02:18
20120702	Open issues negotiations	P93	Pre	0:14:00	French	2	✓	✓	✓	✓		0	0:01:12
20120702	Open issues negotiations	P94	Post	0:11:00	French	2	✓	✓	✓	✓		3	0:02:40
20120702	Open issues negotiations	P95	Pre	0:04:30	French	3	✓	✓	✓	✓		1	0:04:30
20120713	Partial agreement negotiation	P97	Pre	0:44:30	French	3	✓	✓	✓	✓		1	0:44:30
20120713	Partial agreement negotiation	P98	Post	0:05:00	French	1	✓	✓				0	0:08:00
20120717	Update	P99	Update	0:08:00	French	1	✓	✓				1	0:13:00
20120718	Update	P100	Update	0:13:00	French	1	✓	✓	✓	✓	✓	9	0:02:40
20120723	Open issues negotiations	P101	Pre	0:07:00	French	3	✓	✓	✓	✓	✓	1	0:07:00
20120723	Open issues negotiations	P102	Post	0:07:00	French	3	✓	✓	✓	✓	✓	0	0:07:30
20120723	Open issues negotiations	P103	Post	0:07:00	French	1	✓	✓	✓	✓	✓	6	0:07:30
20120723	Open issues negotiations	P104	Pre	0:45:00	French	3	✓	✓	✓	✓	✓	2	0:29:00
20120911	Partial agreement negotiation	P105	Post	0:58:00	French	3	✓	✓	✓	✓	✓	0	0:18:30
20120912	Partial agreement negotiation	P106	Post	0:18:30	French	1	✓	✓	✓	✓	✓	1	0:04:00
20120912	Partial agreement negotiation	P107	Update	0:04:00	French	3	✓	✓	✓	✓	✓	5	0:02:00
20120920	Partial agreement negotiation	P108	Pre	0:10:00	French	3	✓	✓	✓	✓	✓	1	0:13:30
20120920	Partial agreement negotiation	P109	Post	0:12:30	French	1	✓	✓	✓	✓	✓	2	0:02:30
20121003	Update	P110	Update	0:05:00	French	1	✓	✓	✓	✓	✓	1	0:19:00
20121004	Three party negotiations - no	P111	Post	0:19:00	French	3	✓	✓	✓	✓	✓	0	0:02:00
20121004	Three party negotiations - no	P112	Post	0:15:00	French	2	✓	✓	✓	✓	✓	2	0:02:00
20121024	Three party negotiations - no	P113	Pre	0:04:00	French	1	✓	✓	✓	✓	✓	6	0:07:20
20121025	Three party negotiations - no	P114	Pre	0:44:00	English	4	✓	✓	✓	✓	✓	2	0:05:45
20121025	Three party negotiations - no	P115	Pre	0:11:30	Spanish	1	✓	✓	✓	✓	✓	0	0:04:00
20121031	Update	P116	Update	0:10:30	French	1	✓	✓	✓	✓	✓	1	0:07:00
20121108	Three party negotiations - no	P117	Pre	0:04:00	French	1	✓	✓	✓	✓	✓	0	0:08:30
20121108	Three party negotiations - no	P118	Post	0:07:00	French	1	✓	✓	✓	✓	✓	0	0:08:30
20121212	Three party negotiations - no	P119	Pre	0:12:30	French	3	✓	✓	✓	✓	✓	0	0:08:30
20120219	Update	P120	Update	0:08:30	French	1	✓	✓	✓	✓	✓	1	0:08:30

Appendix F - Formulation Theme Activities – Support from Literature, Activity Propositions and Open-Ended Survey Results

Activity Category:	Support from literature	Which category activities are commonly conducted Activity Propositions	Commonly cited in Survey	No. of respondents citing the activity (Q1', Q2', Q3')
2. Formulation	100%		Yes	56
2.1. Issues, Interests, Positions and Priorities	100%	Yes	Yes	41
2.1.1. Issues and interests	100%		Yes	34
2.1.1.1 . Customer Issues	100%			19
2.1.1.2. Seller Issues	100%			21
2.1.2. Positions	88%		Yes	16
2.1.2.1. Customer Position	88%			14
2.1.2.2. Seller Position	88%			8
2.1.3. Priorities	100%		Yes	8
2.1.3.1. Customer Priorities	100%			1
2.1.3.2. Seller Priorities	100%			7
2.2. Options	100%	Yes	Yes	20
2.2.1. Options - Issues	88%		Yes	11
2.2.1.1. Customer Options Issues	88%			2
2.2.1.2. Seller Options Issues	88%			10
2.2.2. Options - Deal	88%		Yes	13
2.2.2.1. Customer Options Deal	88%			5
2.2.2.2. Seller Options Deal	88%			8
2.3. Reservation Points	100%	Yes	Yes	35
2.3.1. RP - Issues	100%		Yes	28
2.3.1.1. Customer RP Issues	100%			10
2.3.1.2. Seller RP Issues	100%			23
2.3.2. RP - Deal	100%		Yes	22
2.3.2.1. Customer RP Deal	100%			16
2.3.2.2. Seller RP Deal	100%			10
2.4. Goals	100%	Yes	Yes	25
2.4.1. Goals - Issues	100%		Yes	19
2.4.1.1. Customer Goals Issues	100%			8
2.4.1.2. Seller Goals Issues	100%			15
2.4.2. Goals - Deal	100%		Yes	22
2.4.2.1. Customer Goals Deal	100%			8
2.4.2.2. Seller Goals Deal	100%			21

Note: Supported propositions are highlighted in green.

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